

PACIFIC EARTHQUAKE ENGINEERING RESEARCH CENTER

Shear Wave Velocity as a Statistical Function of Standard Penetration Test Resistance and Vertical Effective Stress at Caltrans Bridge Sites

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ABSTRACT

Shear wave velocity, V_s , is defined as a statistical function of SPT blow count, N_{60} , and vertical effective stress, σ_v' , using a data set collected at various California bridge sites. At each site, V_s measurements were recorded by suspension logging in the same borehole in which N_{60} was measured. Regression analysis was used to derive statistical relations for sand, silt, and clay soil types. The relation between V_s and N_{60} is shown to depend strongly on σ_v' , since V_s and N_{60} normalize differently with overburden, which has been mostly omitted in previously published correlations. A random effects regression model is used to separate the error into intra- and interboring terms. Interboring errors are shown to depend weakly on geologic age. The average shear wave velocity in the upper 30 m, V_{s30} , is computed directly from the suspension logs and compared with V_{s30} computed from the statistical relations. The relations are shown to provide unbiased estimates of V_{s30} , with standard deviation of the error equal to the standard deviation of the interboring error term. Ground motion prediction equations require V_{s30} as an input parameter, and the statistical relations may be useful for estimating V_{s30} at sites where only penetration resistance data are available. The proposed relations should not substitute for more accurate geophysical measurements when predicted ground motions are sensitive to the uncertainty in V_{s30} , but may be useful for identifying whether geophysical measurements should be performed to better refine the V_{s30} estimate.

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1 Introduction

A key property required to effectively estimate the dynamic response of soil is the small-strain shear modulus, G_{max} , which is most often computed by measuring the shear wave velocity, V_s , and mass density, ρ , where $G_{max} = \rho V_s^2$. The importance of G_{max} has been widely recognized in ground motion prediction equations by implementation of site factors that modify ground motion based on the difference between a site V_s and a reference V_s [typically for rock, e.g., Choi and Stewart (2005)], or by direct incorporation of a V_s term in the ground motion regression equations. For example, the Next Generation Attenuation relations [Abrahamson and Silva (2008); Boore and Atkinson (2008); Campbell and Bozorgnia (2008); Chiou and Youngs (2008)] include V_{s30} as a constant required for ground motion prediction, where V_{s30} is the average shear wave velocity in the upper 30m. Geophysical measurements are now commonplace for geotechnical projects where vibrations are anticipated. However, geophysical measurements were not always commonplace, and older site investigations often lack geophysical measurements and provide only the geologic setting, stratigraphy, and penetration resistance (i.e., SPT blow counts or CPT resistance). Lack of geophysical measurements from older site investigations is particularly pertinent for state departments of transportation. For example, Caltrans owns about 13,000 bridges, most of which were constructed before 1970. As ground motion prediction equations have advanced to include V_s values as inputs, there is a need to estimate V_s at the older bridges based on available information to guide retrofit evaluations. Correlations between shear wave velocity and blow count, geologic setting, and site stratigraphy are therefore potentially useful at least as a screening tool for identifying a subset of bridges where geophysical measurements would be the most beneficial.

Numerous relations between SPT blow count, N , and V_s exist in the literature (Table 1.1). Early efforts utilized laboratory results to develop relations, which were subsequently refined as field measurement of V_s became more routine and data became available. The early correlations

based on field data often involved blow counts that were not corrected for energy, rod length, or sampler inside diameter. Hence, it is impossible to know whether bias is introduced by hammer efficiency, non-standard samplers, etc. Furthermore, various methods of measuring V_s were utilized in the correlations, including cross-hole, seismic CPT, spectral analysis of surface waves (SASW), and suspension logging. These different methods provide very different resolutions for V_s measurements at different depths. For example, SASW uses progressively lower-frequency surface waves to measure shear wave velocity deeper in a profile, resulting in high spatial resolution near the surface and poorer resolution deep in the profile where the low-frequency waves average the properties of a large volume of soil. Crosshole methods and suspension logging methods use higher-frequency waves that average the properties of a much smaller volume of soil, though measurements cannot often be made at shallow depths. Penetration resistance measurements are also spatially averaged within a small volume of soil near the sampler, since the sampler is driven through 0.3 m of soil to obtain the blow count, and because the failure mechanism extends some distance above and below the sampler tip. However, this volume of soil is small enough that SPT is often considered a point measurement, and involves a spatial scale that is more comparable to suspension logging than to other methods for estimating V_s .

Table 1.1 summarizes relations from 28 different studies, with nearly every relation utilizing the functional form $V_s = A \cdot N^B$, where the constants A and B were determined by statistical regression of a data set. The N -values are typically not corrected for overburden stress, but sometimes are corrected for hammer energy, rod length, and sampler inside diameter, in which case N is replaced by N_{60} . Jafari et al. (2002) summarized more than 20 such relations [e.g., Ohta et al. (1978), Ohta and Goto (1978)], and more recently, relations of the same form have been proposed by Hasancebi and Ulusay (2006), and Dikmen (2009). A few relations have explored using various combinations of overburden-corrected values. Sykora and Koester (1988) evaluated a relation between V_s and $(N_I)_{60}$, and found the correlation to be poorer than the relation directly between V_s and N_{60} because both V_s and N_{60} vary with overburden stress, whereas $(N_I)_{60}$ does not. Andrus et al. (2004) correlated the overburden-corrected shear wave velocity with overburden-corrected blow count values using a functional form $V_{sI} = \beta_0 \cdot (N_I)_{60}^{\beta I}$ for Holocene clean sands. This functional form is superior because it removes the effect of overburden, since both V_{sI} and $(N_I)_{60}$ are theoretically independent of overburden stress.

Table 1.1 Some existing correlations presenting V_s as a function of SPT blow count, N .

Author(s)	I.D.	All soils	Sand	Silt	Clay
Shibata (1970)	A	-	$V_s = 31.7 N^{0.54}$	-	-
Ohba and Toriuma (1970)	B	$V_s = 84 N^{0.31}$	-	-	-
Imai and Yoshimura (1975)	C	$V_s = 76 N^{0.33}$	-	-	-
Ohta et al (1972)	D	-	$V_s = 87.2 N^{0.36}$	-	-
Fujiwara (1972)	E	$V_s = 92.1 N^{0.337}$	-	-	-
Ohsaki and Iwasaki (1973)	F	$V_s = 81.4 N^{0.39}$	-	-	-
Imai et al (1975)	G	$V_s = 89.9 N^{0.341}$	-	-	-
Imai (1977)	H	$V_s = 91 N^{0.337}$	$V_s = 80.6 N^{0.331}$	-	$V_s = 80.2 N^{0.292}$
Ohta and Goto (1978)	I	$V_s = 85.35 N^{0.348}$	-	-	-
Seed and Idriss (1981)	J	$V_s = 61.4 N^{0.5}$	-	-	-
Imai and Tonouchi (1982)	K	$V_s = 96.9 N^{0.314}$	-	-	-
Sykora and Stokoe (1983)	L	-	$V_s = 100.5 N^{0.29}$	-	-
Jinan (1987)	M	$V_s = 116.1 (N+0.3185)^{0.202}$	-	-	-
Okamoto et al (1989)	N	-	$V_s = 125 N^{0.3}$	-	-
Lee (1990)	O	-	$V_s = 57.4 N^{0.49}$	$V_s = 105.64 N^{0.32}$	$V_s = 114.43 N^{0.31}$
Athanasopoulos (1995)	P	$V_s = 107.6 N^{0.36}$	-	-	$V_s = 76.55 N^{0.445}$
Sisman (1995)	Q	$V_s = 32.8 N^{0.51}$	-	-	-
Iyisan (1996)	R	$V_s = 51.5 N^{0.516}$	-	-	-
Kanai (1966)	S	$V_s = 19 N^{0.6}$	-	-	-
Jafari et al (1997)	T	$V_s = 22 N^{0.85}$	-	-	-
Kiku et al (2001)	U	$V_s = 68.3 N^{0.292}$	-	-	-
Jafari et al (2002)	V	-	-	$V_s = 22 N^{0.77}$	$V_s = 27 N^{0.73}$
Hasancebi and Ulusay (2006)	W	$V_s = 90 N^{0.309}$	$V_s = 90.82 N^{0.319}$	-	$V_s = 97.89 N^{0.269}$
Ulugergerli and Uyanik (2007)	X	${}^a V_{SU} = 23.291 \ln(N) + 405.61$	-	-	-
Ulugergerli and Uyanik (2007)	Y	${}^b V_{SL} = 52.9 e^{-0.011N}$	-	-	-
Dikmen (2009)	Z	$V_s = 58 N^{0.39}$	$V_s = 73 N^{0.33}$	$V_s = 60 N^{0.36}$	$V_s = 44 N^{0.48}$
Pitilakis et al. (1999)	AA	-	$V_s = 145(N_{60})^{0.178}$	-	$V_s = 132(N_{60})^{0.271}$
Hasancebi and Ulusay (2006)	AB	$V_s = 104.79(N_{60})^{0.26}$	$V_s = 131(N_{60})^{0.205}$	-	$V_s = 107.63(N_{60})^{0.237}$

This study utilizes a data set collected at various California bridge sites to define V_s as a statistical function of N_{60} and vertical effective stress, σ_v' . At each site, V_s measurements were recorded by suspension logging in the same borehole in which N_{60} was measured. Random effects regression analysis is used to derive statistical relations for sand, silt, and clay soil types, including median predictions and standard deviations of interboring and intraboring error terms. The proposed relations are used to compute V_{s30} values, which are subsequently compared with those computed directly from the suspension logs.

2 Influence of Overburden Stress

Vertical effective stress, σ_v' , is known to affect V_s and N_{60} , and the effect is often removed using an overburden correction factor [e.g., Skempton (1986); Sykora (1987)]. The resulting stress-corrected quantities, V_{s1} and $(N_1)_{60}$, are often correlated with relative density for sands, and perhaps their most common use is for liquefaction evaluation [e.g., Youd et al. (2001)]. Equations 2.1 and 2.2 are common overburden correction equations for N_{60} and V_s , where the exponents n and m are empirical constants that depend on soil type, cementation, and plasticity index.

$$(N_1)_{60} = \left(\frac{P_a}{\sigma_v'} \right)^n \cdot N_{60} \quad (2.1)$$

$$V_{s1} = \left(\frac{P_a}{\sigma_v'} \right)^m \cdot V_s \quad (2.2)$$

Regarding SPT blow count corrections, typical values are $n=0.5$ for sand and $n=1.0$ for clay. Regarding V_s corrections, Yamada et al. (2008) found that the exponent m is 0.25 for clean sands and can be as high as 0.5 for cohesive soil, depending on plasticity index. A typical ratio is therefore $n/m = 2$, though there are many reasons why this ratio may not hold for a particular soil. For example, cementation has been observed to affect small-strain behavior (i.e., V_s) more than large-strain behavior (i.e., N_{60}). DeJong et al. (2006) tested loose sand specimens cemented using calcite precipitated by bacteria and found that V_s increased by as much as a factor of 4 due to cementation using small-strain bender element measurements. When the specimens were tested in undrained triaxial compression, the cemented specimens were stiffer initially but converged with the uncemented specimen behavior at large strains. Since the standard penetration test induces extremely large strains in the soil in the immediate vicinity of the

sampler, and smaller strains with distance from the sampler, it would be expected to reduce the influence of age-induced cementation.

Since shear wave velocity and penetration resistance normalize differently with σ_v' , it is surprising that nearly every existing published relation defines V_s directly as a function of N_{60} without quantifying the overburden effect. As an example of the potential error introduced by neglecting σ_v' , consider a profile of uniform sand with $(N_1)_{60} = 20$ shown in Figure 2.1. Note that $N_{60} = 20$ at a depth of 5 m, since this depth corresponds to $\sigma_v' = 1 \text{ atm}$, and the N_{60} values at other depths were computed using Equation 2.1 with $n = 0.5$. Based on the relation by Andrus et al. (2004) for Holocene clean sand, $V_{s1} = 87.8(N_1)_{60}^{0.253} = 187 \text{ m/s}$. Substituting (2.1) and (2.2) into the relation results in Equation (2.3).

$$V_s = 87.8 \cdot N_{60}^{0.253} \left(\frac{P_a}{\sigma_v'} \right)^{0.253n-m} \quad (2.3)$$

Notice that V_s depends on both N_{60} and σ_v' in Equation 2.3, since Andrus et al. included the effect of σ_v' by using stress-normalized $(N_1)_{60}$ and V_{s1} . Figure 2.1 contains two plots of V_s versus depth that show the bias introduced by neglecting the influence of overburden; one plot uses Equation 2.3 with $n = 0.5$ and $m = 0.25$ such that $0.253n - m = -0.124$, while the other neglects the overburden term by setting $0.253n - m = 0$. The two plots are clearly different with the latter overpredicting V_s at shallow depths and underpredicting deeper in the profile. The two curves in Figure 2.1 would be identical only in the special case when $m/n = 0.253$, but this ratio is not in the reasonable range of published relations. Hence, it is reasonable to conclude that neglecting the influence of σ_v' introduces errors in the relation between V_s and N_{60} . The influence of σ_v' can be included in two different ways: (1) the regression can represent V_{s1} in terms of $(N_1)_{60}$ for cases where n and m can be independently estimated to perform overburden corrections prior to regression [e.g., as done by Andrus et al. (2004)], or (2) the regression equations can include an overburden term that is solved in a least-squares sense to best fit the data sample. Independently estimating n and m may be difficult, particularly in cases when geophysical measurements are not available and V_s is being estimated from measured N_{60} values. Furthermore, using incorrect n and/or m values could introduce bias into the resulting relation with respect to σ_v' . Hence, approach (2) is adopted in this study.

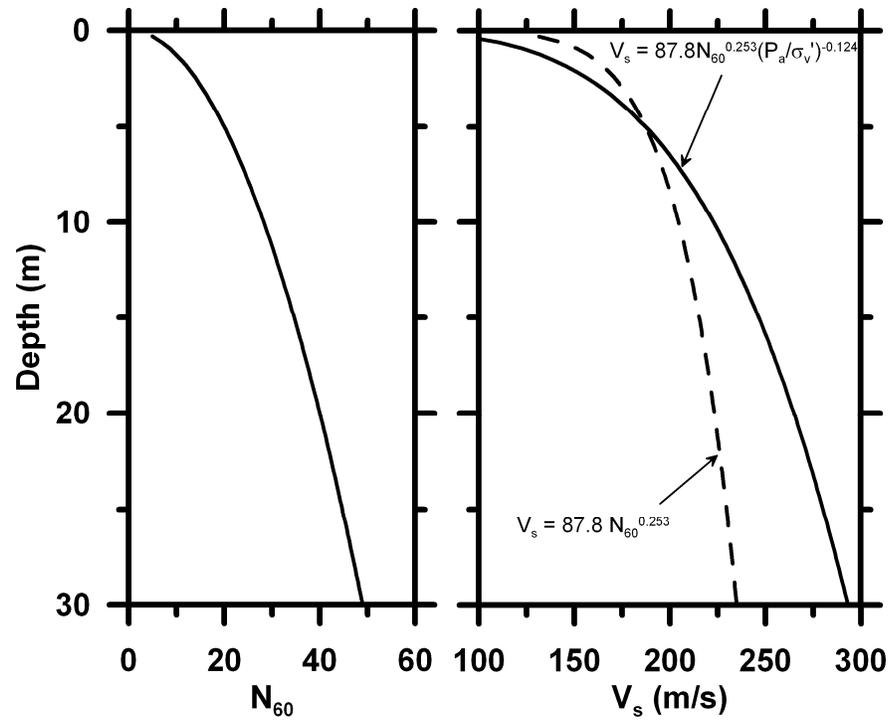


Fig. 2.1 Example of influence of overburden scaling on relation between V_s and N_{60} .

3 Data Set

This study utilized data from a set of boreholes at Caltrans bridge sites where SPT N-values and downhole suspension logs were obtained. A total of 21 bridges and 79 boring logs were identified where N_{60} and V_s measurements were available from the same borehole (Table 3.1).

Bridge Name	Bridge Number	Latitude	Longitude	Number of Borings with V_s measurements	Surface Geology Epoch
Noyo River Bridge	10-0298	39.429°	-123.807°	4	Pleistocene
Benicia-Martinez Bridge (Widen)	28-0153	38.023°	-122.072°	5	Pleistocene
Carquinez Straight Bridge	28-0352	38.066°	-122.226°	4	Holocene
Richmond-San Rafael Bridge	28-0100	37.942°	-122.476°	11	Holocene
San Francisco-Oakland Bay Bridge	33-0025	37.821°	-122.335°	2	Holocene
San Francisco-Oakland Bay Bridge	34-0003	37.801°	-122.375°	7	Holocene
San Francisco-Oakland Bay Bridge	34-0004	37.786°	-122.391°	2	Holocene
Central Viaduct	34-0077	37.771°	-122.423°	4	Holocene
Taylor Street Urban Interchange	37-0583	37.347°	-121.904°	2	Holocene
San Luis Obispo Creek Bridge	49-0014	35.184°	-120.702°	1	Holocene
Santa Rosa Creek Bridge	51-0139	34.632°	-120.288°	1	Holocene
Pleasant Valley Road Overcrossing	52-0443	34.166°	-119.143°	1	Holocene
San Pedro Terminal Island Bridge	53-1471	33.751°	-118.275°	5	Pleistocene
Fair Oaks Avenue Overcrossing	53-2272	34.152°	-118.151°	1	Pleistocene
Gavin Canyon Undercrossing	53-2790	34.350°	-118.540°	1	Pre-Quaternary
Bull Creek Canyon Channel Bridge	53-2794	34.269°	-118.487°	1	Holocene
Route 14/5 Separation & Overhead	53-2795	34.339°	-118.507°	1	Pre-Quaternary
Route 14/5 Separation & Overhead	53-2796	34.336°	-118.511°	1	Pre-Quaternary
Mojave River Bridge	54-1110	34.902°	-117.094°	2	Holocene
San Diego Coronado Bridge	57-0857	32.701°	-117.141°	22	Holocene
Rockwood Canal Bridge	58-0335	32.956°	-115.510°	1	Holocene

Locations of the bridges are shown in Figure 3.1. All of the data were collected between 1993 and 2001. Boring logs were provided in as-built drawings, and were digitized by recording blow count and soil type for each SPT measurement, and the site stratigraphy was also digitized based on the site geologist's or engineer's interpretation of layer contact elevations. Soil type was based on visual classification, and properties such as plasticity index and fines content that could help quantify soil behavior are not known. Corrections to the stratigraphy were often made so that transitions in the V_s profile better corresponded to interpreted layer boundaries. Elevation of the top of the borehole, ground water elevation, date, GPS coordinates, hammer type, and sampler type were recorded for each boring log. Shear- and p-wave velocity logs were provided as Excel files, and were recorded using the downhole suspension logging method explained by Owen (1996). In this method, a probe is lowered down the fluid-filled borehole and the source at the tip of the probe excites a wave that propagates through the boring fluid into the soil and is recorded by two receivers at 1 m spacing attached to the probe above the source. The data were subsequently evaluated for quality by Owen (1996), and poor quality data for which the recorded traces were difficult to evaluate were eliminated from the data set.

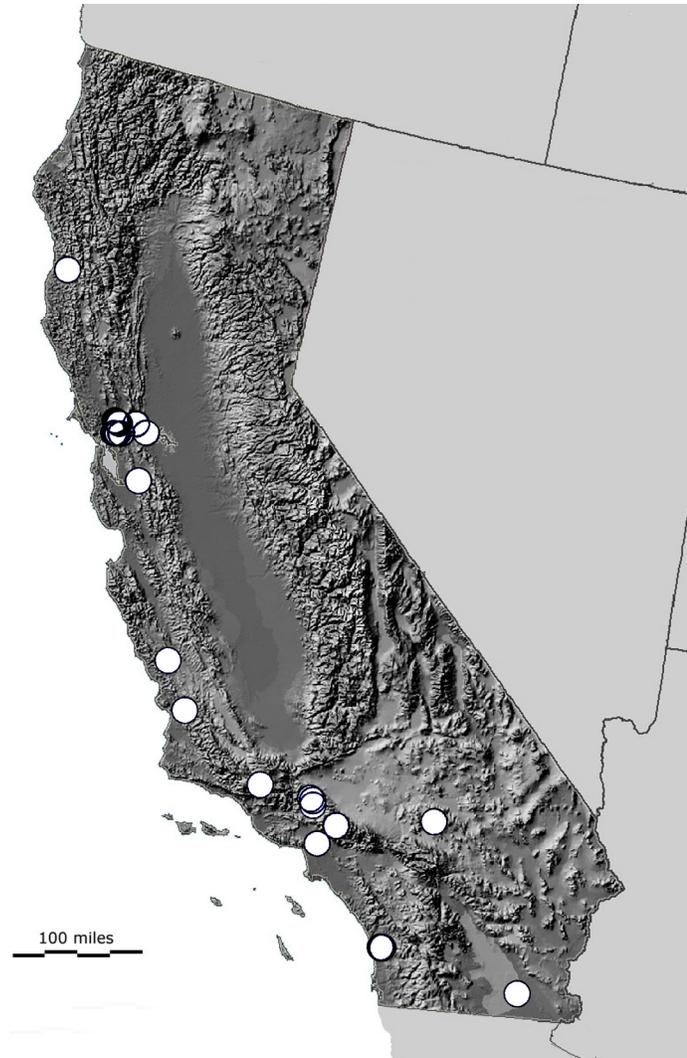


Fig. 3.1 Map of bridge locations to develop data set.

From the combination of boring logs and suspension logs, a total of 911 N_{60} values were available where V_s values were recorded at the same depth. Figure 3.2 shows the distribution of

available data by soil type. For some boreholes V_s values were not recorded at shallow depths where N -values were available, and V_s values often were recorded deep in the profile where N_{60} was not recorded. Only the combinations where N -values and V_s -values were recorded at the same depth were included in the data sample. The standard SPT sampler was used for all of the borings and the hammer type was either a safety hammer with an estimated efficiency of 60%, or an automatic hammer with an estimated efficiency of 82% (Caltrans internal memorandum). A rod length

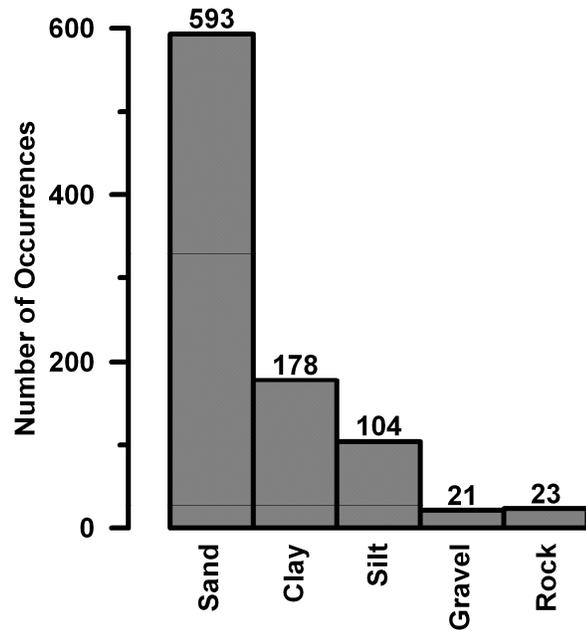


Fig. 3.2 Distribution of soil type for recorded N_{60} , \bar{V}_s pairs.

correction factor was applied based on the information in Table 3.2, and a liner correction factor of 1.0 was applied for samplers with liners and 1.2 for samplers without liners [e.g., Youd et al. (2001)]. Caltrans does not utilize large-diameter borings for geotechnical site investigations; hence a borehole diameter correction was not needed. Some information was not included in every boring log. For example, groundwater elevation was sometimes not recorded for some borings, in which case the p-wave velocity profile provided in the downhole suspension logs was used to identify the approximate elevation of the ground water table. Typically an abrupt transition from p-wave velocity lower than 500 m/s to 1500 m/s or higher was apparent in the

Table 3.2 Rod length correction factors. Table 3.3 Unit weights based on soil type position relative to groundwater.

Rod Length (m)	Correction Factor
<3	0.75
3–4	0.8
4–6	0.85
6–10	0.95
>10	1

Soil Type	Unit Weight Above Water	Unit Weight Below Water
	Table (kN/m ³)	Table (kN/m ³)
Sand	18	20
Silt	19	17
Clay	16	18
Gravel	19	17

boring logs, clearly indicating the position of the groundwater table with approximately 1 m resolution. Whether the sampler was driven with liners was also not always available, in which case a liner correction of 1.0 was applied. Unit weights were recorded for only a small number of fine-grained soil samples (i.e., based on water content for saturated specimens), and unit weights for coarse-grained soils were assumed based on judgment. Table 3.4 presents unit weights used for the data sample depending on soil type and position relative to the ground water table.

Example data from the Noyo River Bridge are shown in Figure 3.3. The first two graphs show the V_s profile and N_{60} profile at the site. The V_s measurements were typically recorded at 0.5m intervals, whereas the N_{60} values were recorded at much coarser sampling intervals typically 1.5m or larger. A number of possible approaches were considered for selecting an appropriate V_s value to associate with each N_{60} value for statistical regression. The first possibility considered was to select the V_s value at the elevation that is nearest to the elevation where the N_{60} value was recorded. This approach was dismissed because high-frequency spatial variations in the V_s profiles could introduce errors in the regression. SPT N -values are not true point estimates, but rather average out soil properties over a finite region, and it is therefore important to obtain a V_s estimate that exhibits similar averaging.

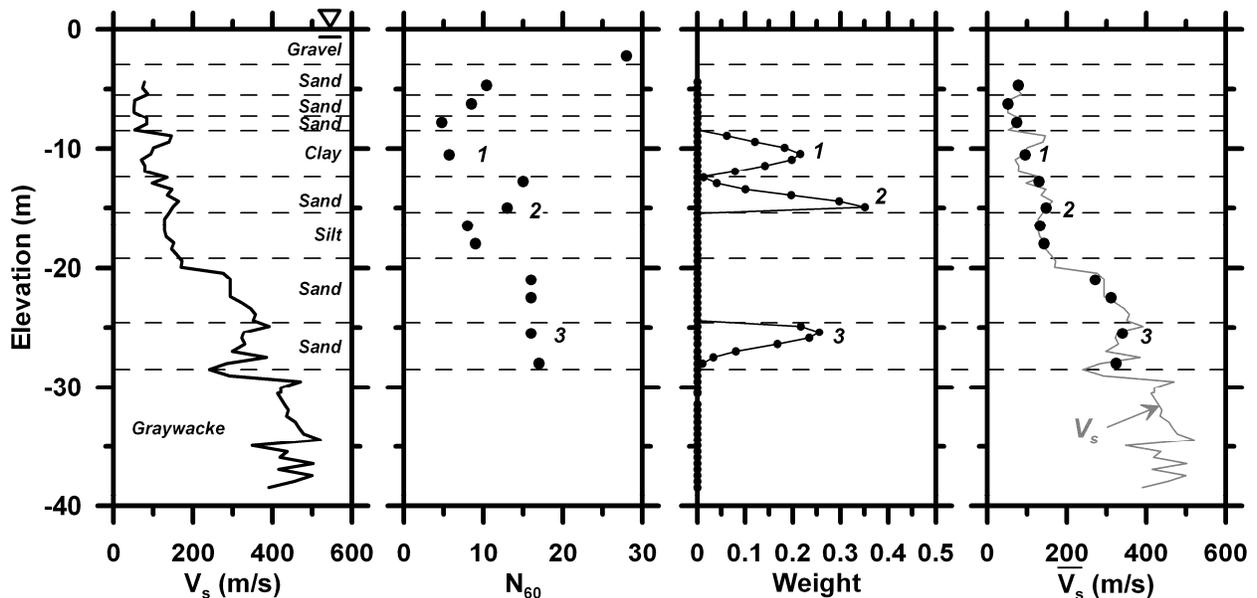


Fig. 3.3 Example plots of V_s , N_{60} , weights, and $\overline{V_s}$ for a boring at the Noyo River Bridge.

The approach adopted in this study utilized a weighted average of the V_s profile with the weighting values inversely proportional to the difference in elevation between the N_{60} measurement and the V_s measurements. The weights were based on a normal distribution centered at the N_{60} elevation with a standard deviation of 1m. This weighting scheme is intended to quantify the average shear wave velocity in a spatial region that may affect an SPT blow count value. The resulting averaged shear wave velocity values were not sensitive to the standard deviation of the weighting function. The probability density function was truncated at layer boundaries (i.e., weights were set to zero outside of the stratum containing the N_{60} value) and scaled to sum to unity. The weighted average shear wave velocity, \overline{V}_s was computed using Equation 3.1.

$$\overline{V}_s = \sum_{i=1}^{rows(V_s)} w_i \cdot (V_s)_i \quad (3.1)$$

Figure 3.3 shows the weight functions and resulting \overline{V}_s values for three different N_{60} values in the boring log. Point 1 shows an N_{60} value near the center of a stratum, where the weighting function is not significantly truncated at layer boundaries. Point 2 shows an N_{60} value near the bottom of a stratum that is truncated in the sand layer, and does not contain any influence of the underlying silt layer. Point 3 shows an N_{60} value near the top of a dense sand layer that is truncated so that the upper looser sand layer does not provide influence. Figure 3.3 also shows an N_{60} value in the upper gravel layer, which lies above the elevation where V_s measurements commenced. This N_{60} value is therefore not associated with a \overline{V}_s value and was not included in the regression. Furthermore, the N_{60} values terminate when the underlying greywacke rock formation is reached, though V_s values continue into this formation. Values of \overline{V}_s are therefore also not available in the greywacke formation and this layer is not included in the statistical regression. Layer corrections were not applied to the N_{60} or V_s values.

4 Statistical Regression

The form of statistical regression utilized in this study expresses \overline{V}_s (in m/s) in terms of N_{60} (in blows/ft), σ_v' (in kPa), and regression constants, β , using a random effects model as shown in Equation 4.1:

$$\ln(\overline{V}_s)_{ij} = \beta_0 + \beta_1 \ln(N_{60})_{ij} + \beta_2 \cdot \ln(\sigma_v')_{ij} + \eta_i + \varepsilon_{ij} \quad (4.1)$$

where η_i is the random effect for the i^{th} boring (i.e., the interboring variation) and ε_{ij} is the variation of the j^{th} measurement from the i^{th} boring (i.e., the intraboring variation). The η_i and ε_{ij} are assumed to be independent normally distributed variates with standard deviations τ and σ , respectively, and the standard deviation of the total error is $\sigma_r = \sqrt{\tau^2 + \sigma^2}$, since η and ε are presumed uncorrelated. Error was partitioned into two variables using the random effects model to permit the possibility that \overline{V}_s might be systematically overpredicted for some borings and systematically underpredicted for others. Utilizing a single error term would neglect this important feature, which can be captured only by partitioning the error into interboring and intraboring terms. Random effects models are often applied in regression analysis of earthquake ground motions [e.g., Abrahamson and Youngs (1992)], wherein error is partitioned into intra-event and inter-event terms because an earthquake may produce ground motions that are systematically overpredicted or systematically underpredicted by ground motion prediction equations. The random effect is very important for estimating the variance of V_{s30} , the average shear wave velocity in the upper 30m, computed from the correlation as shown in detail later. Previously published regressions of V_s with N_{60} have not partitioned the error term into interboring and intraboring components, and it is therefore not possible to distinguish the two types of error.

The form of the regression equation used in this study also includes σ'_v as a regression variable and solves for β_2 that minimizes errors. The alternative approach would have involved estimating n and m for each sample and regressing on V_{s1} and $(N_I)_{60}$ without including a σ'_v term [i.e., as done by Andrus et al. (2004)]. However, n and m could not be accurately estimated for the data, since important properties such as plasticity index and fines content are not known. Including erroneous n and m terms could result in an expression for V_s that is biased with respect to σ'_v , whereas Equation 4.1 eliminates this potential bias. The β_2 parameter provides a measure of the relative overburden scaling between V_s and N_{60} that minimizes residuals with respect to σ'_v .

Regression was performed for sand, silt, and clay soil types using the *lmer* function in R, the open-source software environment for statistical computing (Venables and Smith 2009). The number of data points for gravel was deemed insufficient for regression. The resulting regression parameters are summarized in Table 4.1, and trends are plotted in Figure 4.1 as \bar{V}_s versus N_{60} and \bar{V}_s versus σ'_v . Regression lines using Equation 4.1 and Table 1.1 are plotted through the data points corresponding to various σ'_v values for \bar{V}_s versus N_{60} and for various N_{60} values for \bar{V}_s versus σ'_v . All regression lines are the median values, with $\varepsilon=\eta=0$. Multiple trend lines are required, since the regression includes both N_{60} and σ'_v , and the trend lines are useful for identifying the relative influence of N_{60} and σ'_v for the regression of each soil type. The trend lines correspond to the median and plus and minus one standard deviation for σ'_v and N_{60} so that a fair comparison can be made about their relative influence on the regression prediction.

Table 4.1 Regression parameters.

Soil Type	β_0	β_1	β_2	σ	τ
Sand	4.045	0.096	0.236	0.57-0.07·ln(σ'_v) if $\sigma'_v \leq 200$ kPa 0.20 if $\sigma'_v > 200$ kPa	0.217
Silt	3.783	0.178	0.231	0.31-0.03·ln(σ'_v) if $\sigma'_v \leq 200$ kPa 0.15 if $\sigma'_v > 200$ kPa	0.227
Clay	3.996	0.230	0.164	0.21-0.01·ln(σ'_v) if $\sigma'_v \leq 200$ kPa 0.16 if $\sigma'_v > 200$ kPa	0.227

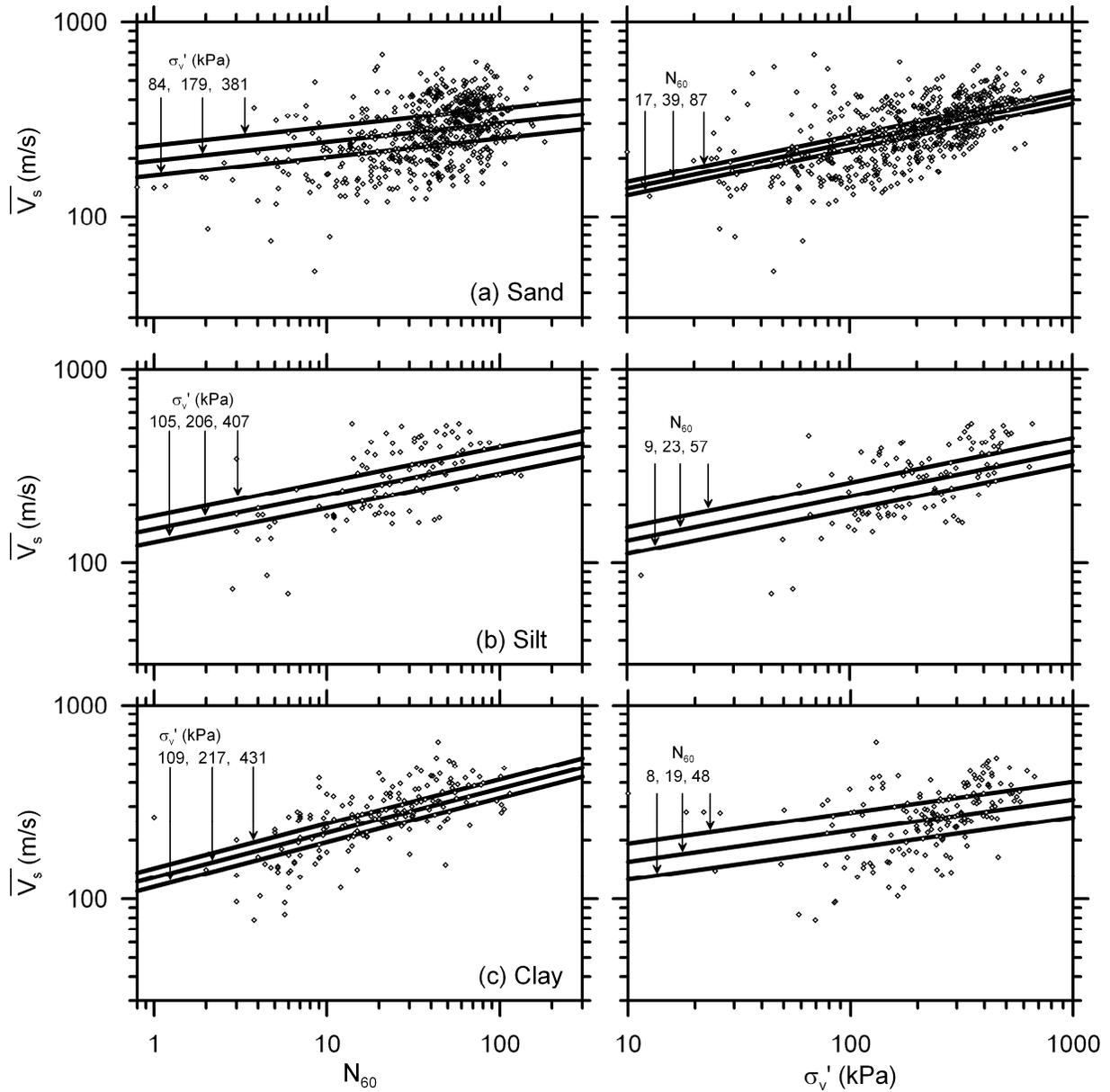


Fig. 4.1 Results of regression equations for (a) sand, (b) silt, and (c) clay, with trend lines corresponding to the mean and $\pm 1\sigma$ for σ_v' and N_{60} .

4.1 RELATIVE INFLUENCE OF N_{60} AND σ_v' ON REGRESSION

For sand, \bar{V}_s is more significantly related to σ_v' than to N_{60} . This trend is apparent by examining how closely spaced the trend lines are within a given plot. For example, the trend lines are further apart in the plot of \bar{V}_s versus N_{60} than in the plot of \bar{V}_s versus σ_v' , which indicates that σ_v'

exerts a more significant influence than N_{60} . For example, considering sand with the median value $N_{60}=39$, the regression equation returns median values of $\bar{V}_s = 230, 275, \text{ and } 329$ m/s for $\sigma_v' = 84, 179, \text{ and } 381$ kPa, respectively. On the other hand, for $\sigma_v'=179$ kPa, the regression equations return median values of $\bar{V}_s = 254, 275, \text{ and } 297$ m/s for $N_{60} = 17, 39, \text{ and } 87$, respectively. This indicates that, in the range of common engineering interest, V_s is more strongly related to overburden stress than to blow count. Hence, knowing σ_v' alone would provide a statistically superior estimate of \bar{V}_s than knowing N_{60} alone, though knowing both is better. This observation is significant, since the effect of overburden has not been directly quantified in nearly every previously published study, and may help explain the large differences among the numerous published relations.

The influence of σ_v' on the regression becomes smaller for silt and is the lowest for clay. For silt σ_v' and N_{60} exert approximately equal influence on \bar{V}_s , whereas for clay, N_{60} exerts more influence than σ_v' . For example, considering clay with the median value $N_{60}=19$, the regression equation returns median values of $\bar{V}_s = 227, 254, \text{ and } 283$ m/s for $\sigma_v' = 109, 217, \text{ and } 431$ kPa, respectively. On the other hand, for $\sigma_v'=217$ kPa, the regression equations return median values of $\bar{V}_s = 208, 254, \text{ and } 314$ m/s for $N_{60} = 8, 19, \text{ and } 48$, respectively. Hence, \bar{V}_s is more strongly related to blow count than overburden stress in the range of engineering interest for clay, which is opposite to the trend for sand. However, in all cases V_s was influenced by σ_v' , and neglecting the overburden effect would introduce bias into the results.

4.2 OVERBURDEN SCALING PARAMETERS IMPLIED BY REGRESSION CONSTANTS

The statistical regression parameters provide information about the relative overburden scaling for V_s and N_{60} . Individual values of n and m cannot be solved from the regression, but a linear relation between n and m can be defined by rearranging terms in Equations 2.1, 2.2, and 4.1 to obtain $\beta_2 = m \cdot n \cdot \beta_1$, and values of m can be computed for assumed values of n . For example, if we assume $n=0.5$ for sand, then $m=0.28$, which is reasonably close to the commonly assumed value of 0.25. If we assume $n=1.0$ for clay, then $m=0.39$, which is reasonably close to $m=0.5$ suggested for clay by Yamada et al. (2008). The range of n for silt would be anticipated between

0.5 and 1.0, since silt could vary from non-plastic to highly plastic, which corresponds m in the range 0.32 to 0.41. The overburden scaling implied by the regression constants is therefore reasonably consistent with observations from other published studies.

4.3 INTRABORING RESIDUALS

Intraboring residuals defined as $\varepsilon_{ij} = \ln(\overline{V}_s)_{ij} - [\beta_0 + \beta_1 \ln(N_{60})_{ij} + \beta_2 \ln(\sigma'_v)_{ij} + \eta_i]$ are plotted versus N_{60} and σ'_v in Figure 4.2. The mean value of the residuals is zero, and there is no trend in the residuals with either N_{60} or σ'_v , which indicates that the regression has removed bias with respect to these input variables. The standard deviation of the intra-event residuals decreases as σ'_v increases, indicating a weaker relationship at low confining stress (i.e., at shallow depths). The cause of the decreased correlation at low σ'_v is unclear, but could be an indication of reduced measurement accuracy at shallow depths in the suspension logging. Since the standard deviation term depends on σ'_v , the residuals are heteroscedastic. The variation in σ with σ'_v was quantified by (1) sorting the residuals in order of increasing σ'_v , (2) selecting a subsample of data points with the lowest confining stress values, (3) computing the standard deviation of the subsample, (4) computing the mean σ'_v for the subsample, (5) shifting the subsample window by one data point and repeating (3) and (4), and (6) repeating (5) until the subsample window reached the last residual value with the highest σ'_v . The subsample standard deviations were then plotted versus the natural logarithm of the subsample mean σ'_v values, and a linear trend was fit to the data. The subsample standard deviations were observed to be fairly constant when $\sigma'_v > 200$ kPa, as reflected in the equations for σ in Table 3.1. The sand residuals exhibit the most pronounced heteroscedasticity, whereas the standard deviation of the residuals for silt and clay depend only weakly on σ'_v . Trend lines corresponding to $\pm 1\sigma$ are included in Figure 4.2.

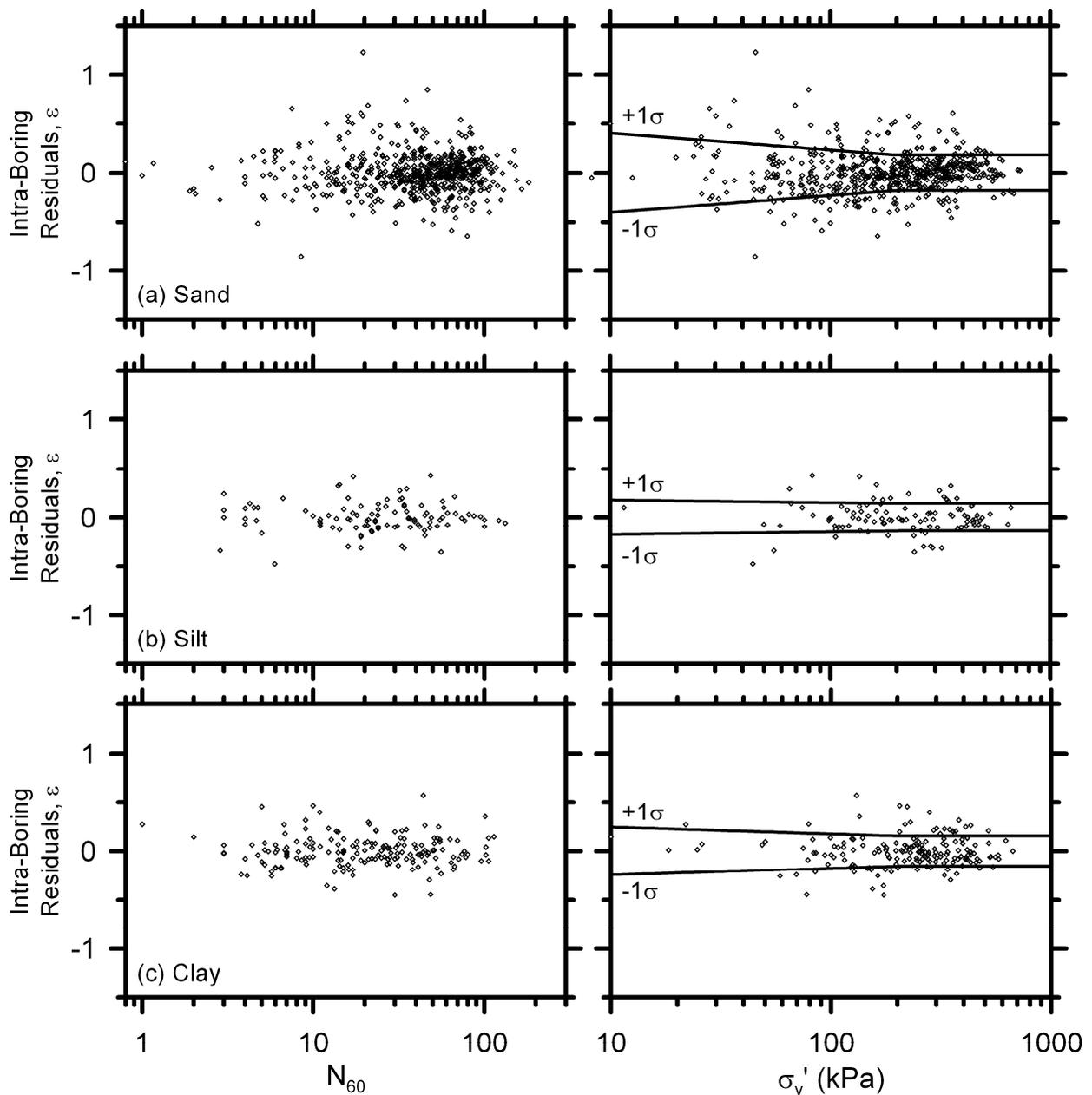


Fig. 4.2 Intra-boring residuals, ε , versus N_{60} and σ_v' for (a) sand, (b) silt, and (c) clay. Plots of ε vs. σ_v' include lines showing $\pm 1\sigma$ for ε .

Normality of the intraboring residuals is examined using the quantile-quantile (Q-Q) plots in Figure 4.3. The Q-Q plots represent the sorted residuals (i.e., the quantiles) versus the theoretical residuals that would be anticipated if the error term were normally distributed. When measured quantiles are plotted against theoretical quantiles, a normally distributed variable exhibits a linear Q-Q plot with a slope of unity, whereas deviation from normality is manifested by data points that do not lie along the 1:1 line. Some deviations at the ends of the Q-Q plots are anticipated based on sampling variability, since the tails of distributions are often not well-characterized by the sample. In this case, residuals for sand and clay deviate from normality at the tails of the distribution, dropping below the 1:1 line. This indicates that the distributions are more peaked than a normal distribution, with more probability density lying near the mean and less at the tails. Indeed, kurtosis of the intraboring residuals were 3.9, 1.1, and 1.5 for sand, silt, and clay, respectively. For reference, a normal distribution has kurtosis of zero, and a distribution that is more peaked than a normal distribution has a positive kurtosis, while flatter distributions have negative kurtosis. Despite these deviations from normality, the normal distribution is a convenient model for quantifying distribution of the intraboring residuals, and the authors suggest that the residuals can be considered normally distributed for practical implementation.

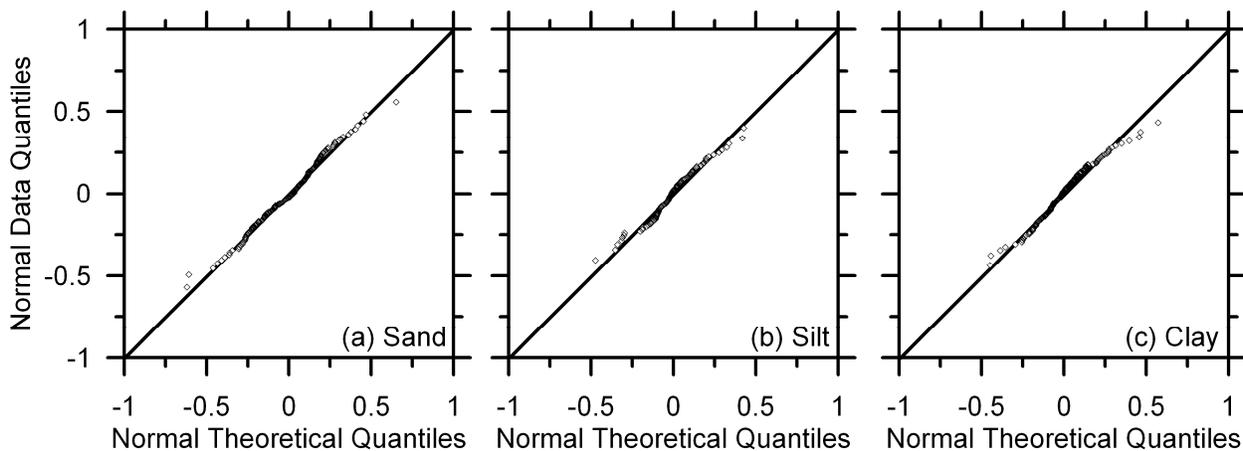


Fig. 4.3 Quantile-quantile plots showing degree to which intraboring residuals are normally distributed.

4.4 INTERBORING RESIDUALS

Figure 4.4 plots inter-event residuals, η_i , corresponding to Holocene, Pleistocene, and Pre-Quaternary surface geology epochs. Surface geology mapping was based on a study by Knudsen et al. (2009) who reported the surface geologic epoch at all Caltrans bridge sites. A positive η value indicates that the median value of \bar{V}_s predicted using Equation 4.1 would underpredict the measured value. A weak trend is apparent in which the η values decrease with geologic age,

which implies that for a given N_{60} the corresponding V_s value decreases as age increases. This is contrary to the expectation that age-induced cementation would have a larger effect on V_s than on N_{60} . However, the trend is weak and the number of data points is insufficient (particularly for Pleistocene and pre-Quaternary epochs) to confidently propose age-dependent inter-event residuals. Furthermore, sites with a Holocene surface geology may transition to older epochs deeper in the profile, such that some data points in the Holocene epoch may actually arise from older geologic units. Sykora and Koester (1988) also found that geologic age had little effect on the correlation between V_s and N_{60} . Inter-event error should be presumed normally distributed with zero mean and a constant standard deviation specified in Table 3.3.

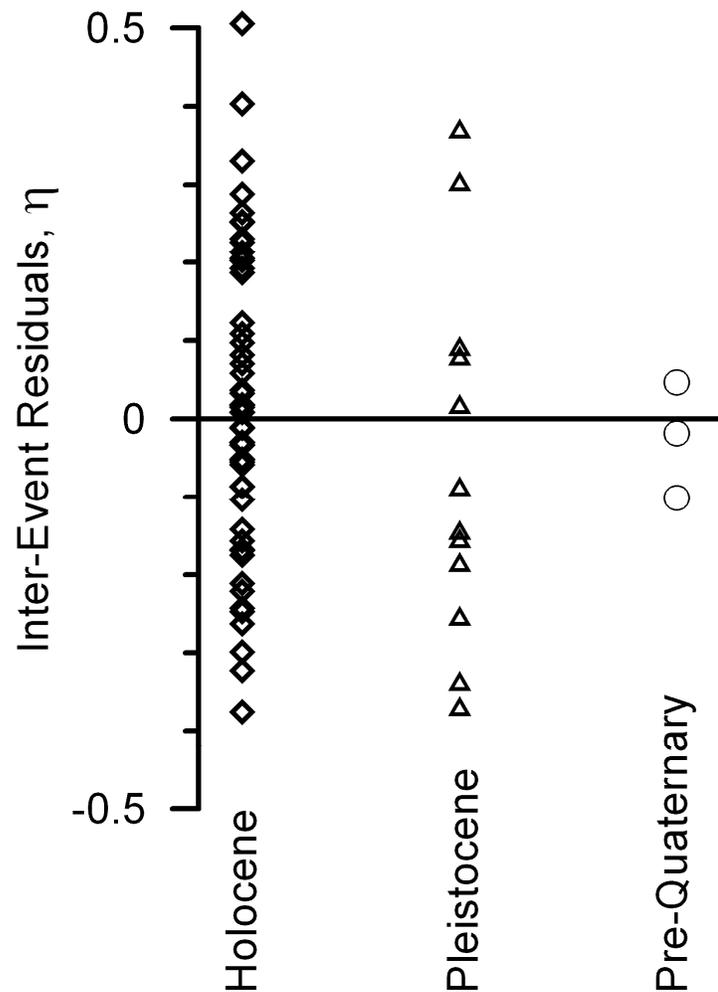


Fig. 4.4 Interboring residuals, η , as function of surface geologic epoch.

5 Calculation of V_{s30} from Blow Count Data

A likely application of the correlations presented in this paper is the calculation of the thirty-meter shear wave velocity, V_{s30} , which is defined as 30 m divided by the travel time of a vertically propagating shear wave in the upper 30 m. The Next Generation Attenuation ground motion prediction models utilize V_{s30} as a required input, and it is therefore required for seismic hazard evaluation. Geotechnical site investigations at many older sites contain boring logs, but no geophysical measurements. Obtaining a rough estimate of V_{s30} based on the recorded boring logs could therefore be useful for assessing seismic hazard at sites with that lack geophysical measurements, and for identifying whether geophysical measurements are necessary to further refine the estimate of V_{s30} . The authors are not advocating the use of correlations as an accurate substitute for geophysical measurements; rather the goal is to quantify errors that may arise so that better-informed decisions can be made regarding which data to collect from a site.

The set of boring logs was screened to identify borings for which adequate spatial coverage in the upper 30 m was provided for the shear wave velocity suspension log and the recorded blow counts to obtain a reasonable estimate of V_{s30} . Borings were excluded when fewer than 6 blow counts were recorded in the upper 30 m, when V_s was not recorded in the upper 5 m, or when large gaps were present in the V_s logs or the recorded blow counts. A total of 30 borings were identified for which accurate V_{s30} measurements could be made. A \widehat{V}_s value was estimated for each N_{60} value using the median relation in Equation 4.1, and V_{s30} was computed for the V_s values recorded directly in the suspension logs (V_{s30}) and for the V_s values computed from Equation 4.1 ($\overline{V_{s30}}$) using Equation 5.1 [e.g., Dobry et al. (2000)], where dx is the tributary length assigned to each V_s value, and N is the number of V_s values in the upper 30 m.

$$V_{s30} = \frac{30m}{\sum_{i=1}^N \frac{dx_i}{(V_s)_i}} \quad (5.1)$$

Residuals were computed as $\ln(V_{s30}) - \ln(\overline{V_{s30}})$. The mean of the residuals was found to be 8.6×10^{-3} which is very low and indicates that the proposed correlation between V_s and N_{60} and σ_v' (see Eq. 4.1) produces an unbiased estimation of V_{s30} . This is not surprising, since the data being evaluated to compute V_{s30} are a subset of the same data that were used to develop the relation.

The standard deviation $\sigma_{V_{s30}}$ was 0.221, which is less than the total standard deviation $\sqrt{\sigma^2 + \tau^2}$. For a given site, the intraboring residuals, ε , are presumed uncorrelated, and the averaging in Equation 5.1 therefore reduces uncertainty in V_{s30} contributed by the ε 's. However, the interboring error is not reduced by averaging. Stated differently, for a given boring log, errors in the estimated V_s values can be divided into the average error for that boring log (i.e., the interboring error), and the scatter of the data points about this average error (i.e., the intraboring error). When a sufficient number of data points are available, the influence of the scatter about the average error has little influence on V_{s30} because some data points are overestimated while others are underestimated, and the errors cancel each other. However, the influence of the average error is preserved in the V_{s30} estimate. The fact that the σ term contributes little to $\sigma_{V_{s30}}$ can be verified by noting that the computed $\sigma_{V_{s30}}$ value from the 30 borings in this study is 0.221, which is consistent with the τ values in Table 4.1. The standard deviation of V_{s30} should therefore be taken as equal to τ . For sites with multiple soil types, τ should be based on the predominant soil type at a particular site using the values in Table 4.1.

6 Discussion

6.1 ERROR CAUSED BY NEGLECTING OVERBURDEN INFLUENCE

The most fundamental observation in this paper is the influence of σ_v' on the correlation between V_s and N_{60} , hence exploring errors associated with neglecting σ_v' is justified to demonstrate the importance. An ordinary least-squares regression was performed using the form in Equation 6.1, and residuals, ε^* , are plotted versus σ_v' in Figure 6.1 for sand, silt, and clay data types.

$$\ln(\overline{V_s}) = \beta_0^* + \beta_1^* \ln(N_{60}) + \varepsilon^* \quad (6.1)$$

For simplicity, the error term was not divided into inter- and intraboring terms, hence Figure 6.1 displays the total error for each data point in the regression. Bias is clearly evident with respect to σ_v' , with negative residuals at low overburden stress and positive residuals at high overburden, which is consistent with the trend that was demonstrated in Figure 3.1 (a negative residual indicates an underprediction of V_s , whereas positive residuals indicate overprediction). Neglecting the influence of σ_v' on the relation between V_s and N_{60} results in statistically significant error. Such relations can be used accurately only in rare cases where the overburden stresses used to develop the relation match the overburden stresses for a particular problem. However, this is a stringent constraint that is not likely to be satisfied for practical problems that involve a range of different overburden stresses.

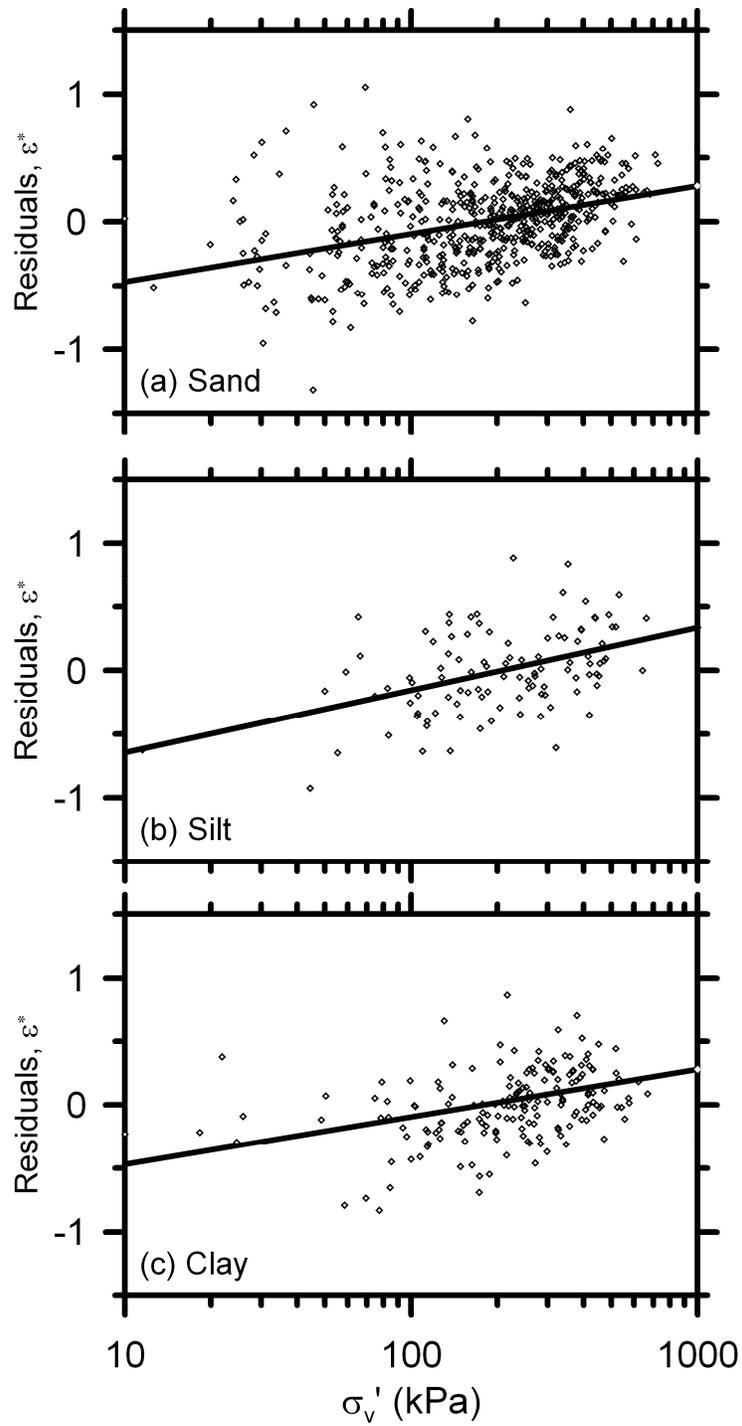


Fig. 6.1 Residuals, ε^* , versus σ'_v for ordinary least squares regression that neglects the influence of σ'_v on relation between V_s and N_{60} . Bias is evident based on the slope of the least squares regression lines.

6.2 COMPARISON WITH OTHER PUBLISHED RELATIONS

Some of the correlations from Table 1.1 are plotted against the data in Fig 6.2. Some of the correlations fit the data points reasonably well, though there is tremendous difference in the various predictions. It is unclear how much of these deviations are caused by natural variability in soil deposits, how much are caused by errors in measurements of N and V_s , and how much is caused by exclusion of overburden correction in the existing relations. For example Kanai (1966) may have utilized data recorded primarily at shallow depths, which could largely explain why their relation is lower than the others. Future efforts should aim to reduce the variability in these relations by utilizing only high-quality measurements of N and V_s , and properly incorporating the influence of overburden. This effort would involve reinterpretation of the data available in published relations, which is beyond the scope of this report.

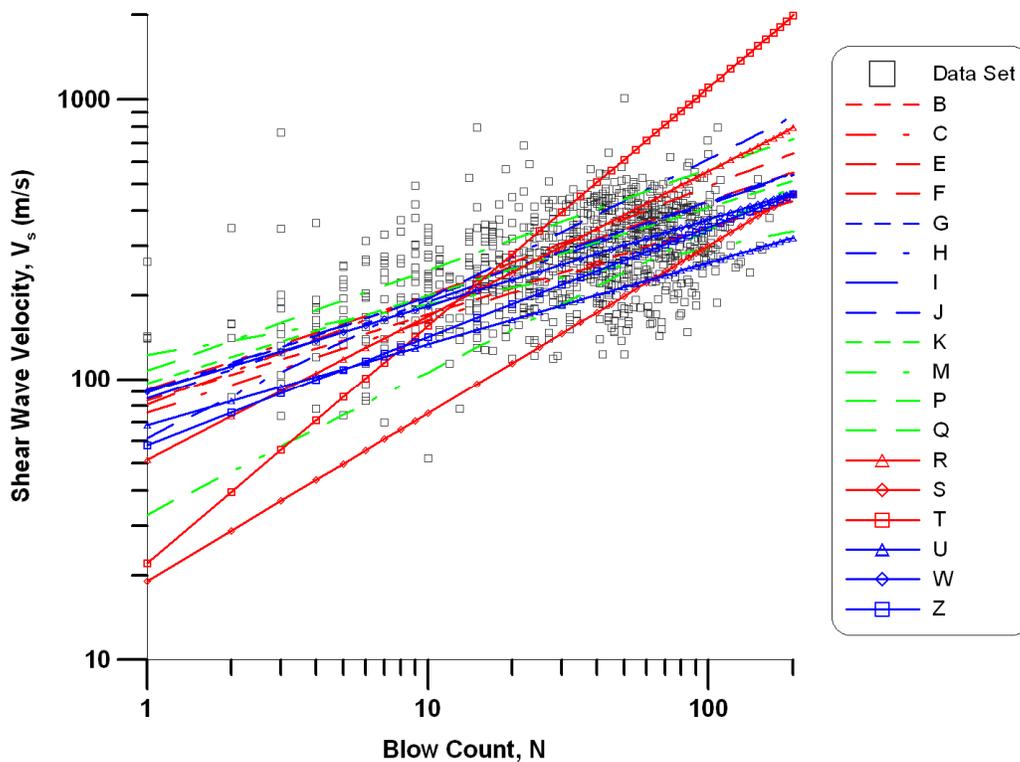


Fig. 6.2 Existing correlations from literature superposed on data set used in this study.

6.3 APPROPRIATE USE OF PROPOSED RELATIONS

The proposed relations are intended to be used to obtain a rough estimate of V_s given N_{60} and σ_v' values at sites where geophysical measurements are not available. The relations are not an accurate substitute for geophysical measurements, and estimates from the relations contain significant uncertainty. The primary intended user is the California Department of Transportation, who owns about 13,000 bridges and geophysical measurements have often not been made at the bridge sites. Making geophysical measurements at every bridge site would be economically unfeasible, and the relations provide a simple but crude method of estimating site stiffness for the purpose of ground motion prediction. The relations should never be used at a site where geophysical measurements are available because the geophysical measurements provide a direct measurement of V_s that contains far less uncertainty. The relations should also never be used as a substitute for projects where making geophysical measurements would be feasible.

The proposed relations are not intended to be used in soft clay deposits. Often, soft clays exhibit very low blow counts (i.e., 1 or push), and the standard penetration test is known to be a very poor predictor of the engineering properties of soft clay as a result of its poor resolution at low blow count. Just as a competent geotechnical engineer would never rely on SPT N-values to predict undrained shear strength in soft clay, one should also never rely on SPT N-values to predict V_s in soft clay using the proposed relations. Very few soft clay data points are included in the correlations, with only four points at $N_{60} < 3$. Hence, the proposed relations are not a valid indicator of V_s for soft clays with $N_{60} < 3$, and other methods should be used to estimate V_s in such layers.

The proposed relations pertain only to blow counts measured using the standard penetration test sampler. Blow counts obtained from non-standard samplers (e.g., the Modified California Sampler) should not be used in combination with the proposed relations. It is the authors' opinion that geotechnical engineers should never use the Modified California Sampler because the recorded blow counts are different from those recorded using the standard penetration test sampler, and the samples obtained from the Modified California Sampler are so badly disturbed that they cannot possibly be used to measure accurate strength properties in the laboratory.

7 Conclusions

Shear wave velocity has been defined as a statistical function of standard penetration resistance and vertical effective stress. Nearly every previously published statistical relation represented V_s as a function of N_{60} alone, without considering the influence of σ_v' . Statistically significant errors arise from neglecting the influence of σ_v' on the relation between V_s and N_{60} , and such relations should not be used except in rare cases when the overburden stresses for the data used to develop a particular relation match the overburden stresses anticipated at a particular site. Data from previously published studies should be reinterpreted to include the effect of overburden to remove bias and reduce uncertainty.

Uncertainty in V_{s30} computed using the proposed relations is much larger than the uncertainty associated with geophysical measurements of V_{s30} . For example, Moss (2008) estimates the coefficients of variation on the order of only 1% to 3% for downhole measurements compared with 22% from the proposed relations. This additional uncertainty in the proposed relations will increase dispersion in ground motion predicted from V_{s30} compared with directly measuring V_{s30} using geophysical measurements. Hence, the proposed relations should not be used at sites where accurate geophysical measurements are available or can readily be obtained.

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Appendix A: Profiles of N_{60} , σ_v' , and V_s Used in Regression Study

This appendix includes plots of vertical effective stress, SPT blow count (N_{60}), measured shear wave velocity (V_s), and median predicted shear wave velocity, \bar{V}_s versus elevation for all boring logs utilized in this study.

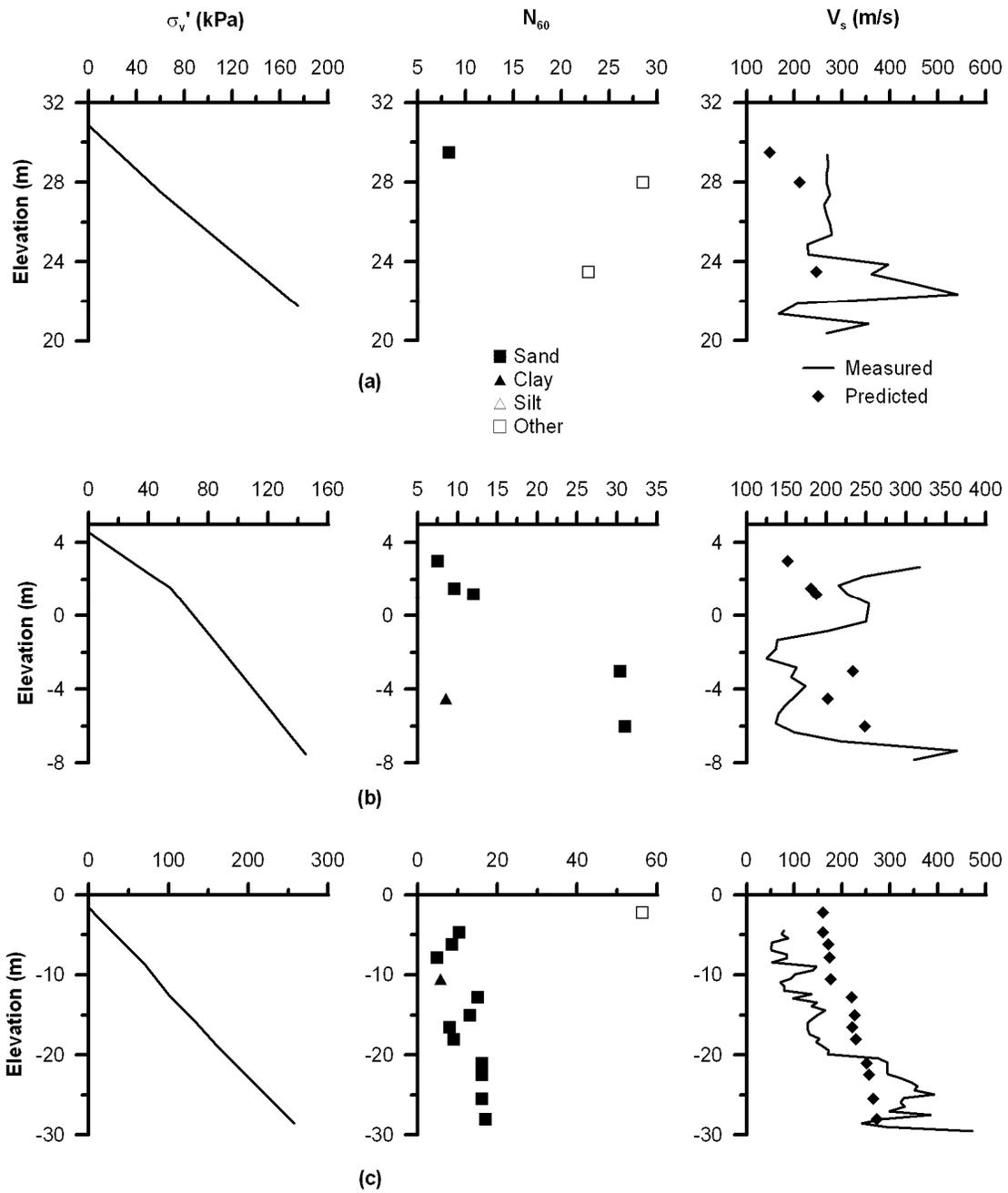


Fig. A.1 (a) Bridge no. 10-0298, boring no. 98-4 (abut.4), (b) Bridge no. 10-0298, boring no. 96-2, (c) Bridge no. 10-0298, boring no. 96-3.

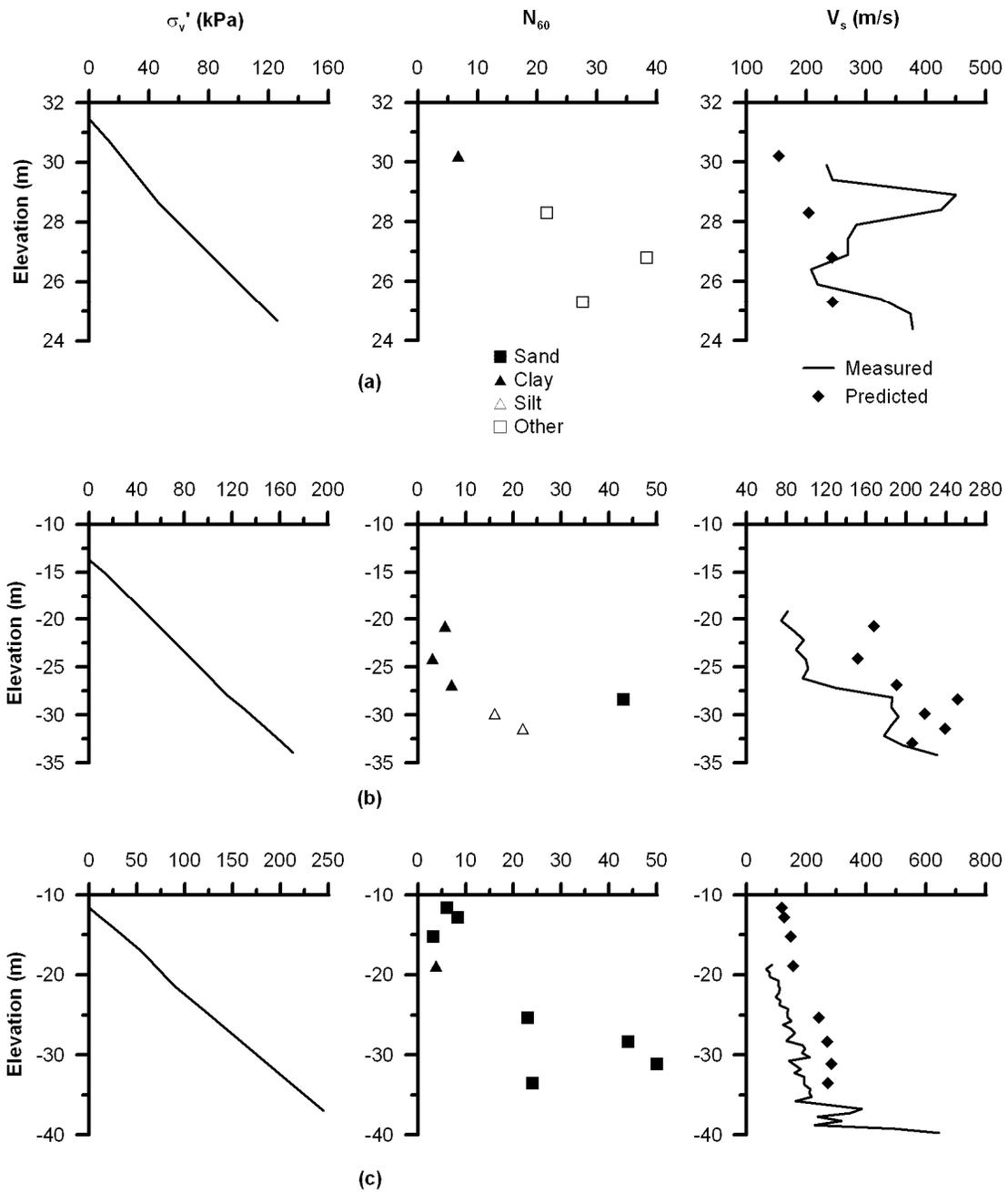


Fig. A.2 (a) Bridge no. 10-0298, boring no. 98-10 (abut 1) (b) Bridge no. 28-0253R, boring no. 94B1R (Pier 9) (c) Bridge no. 28-0153R, boring no. 96-5 (Pier 8).

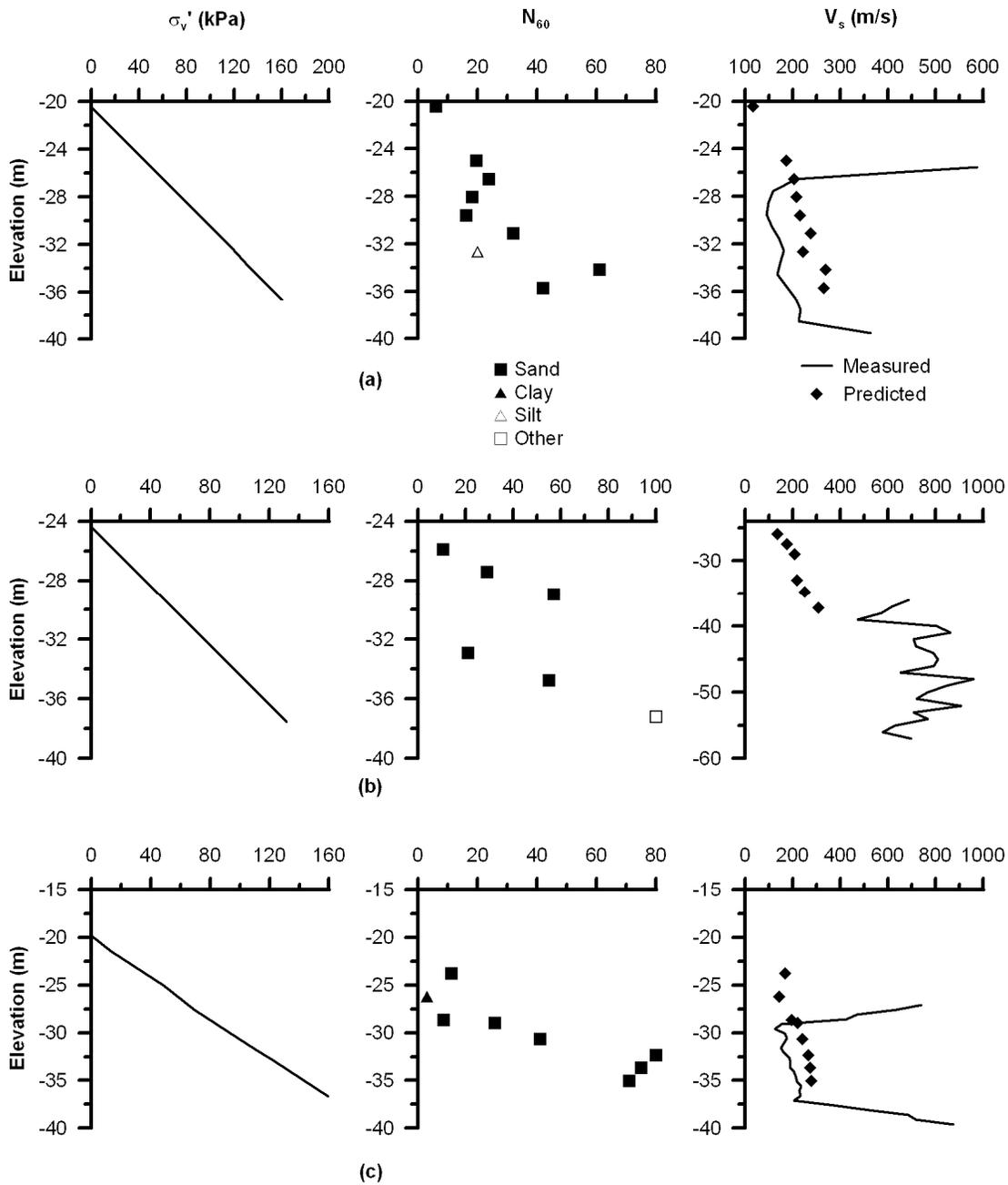


Fig. A.3 (a) Bridge no. 28-1053R, boring no. 95B13R (Pier 7) (b) Bridge no. 28-1053R, boring no. 96-4 (Pier 7) (c) Bridge no. 28-1053R, boring no. 95-12 (Pier 5).

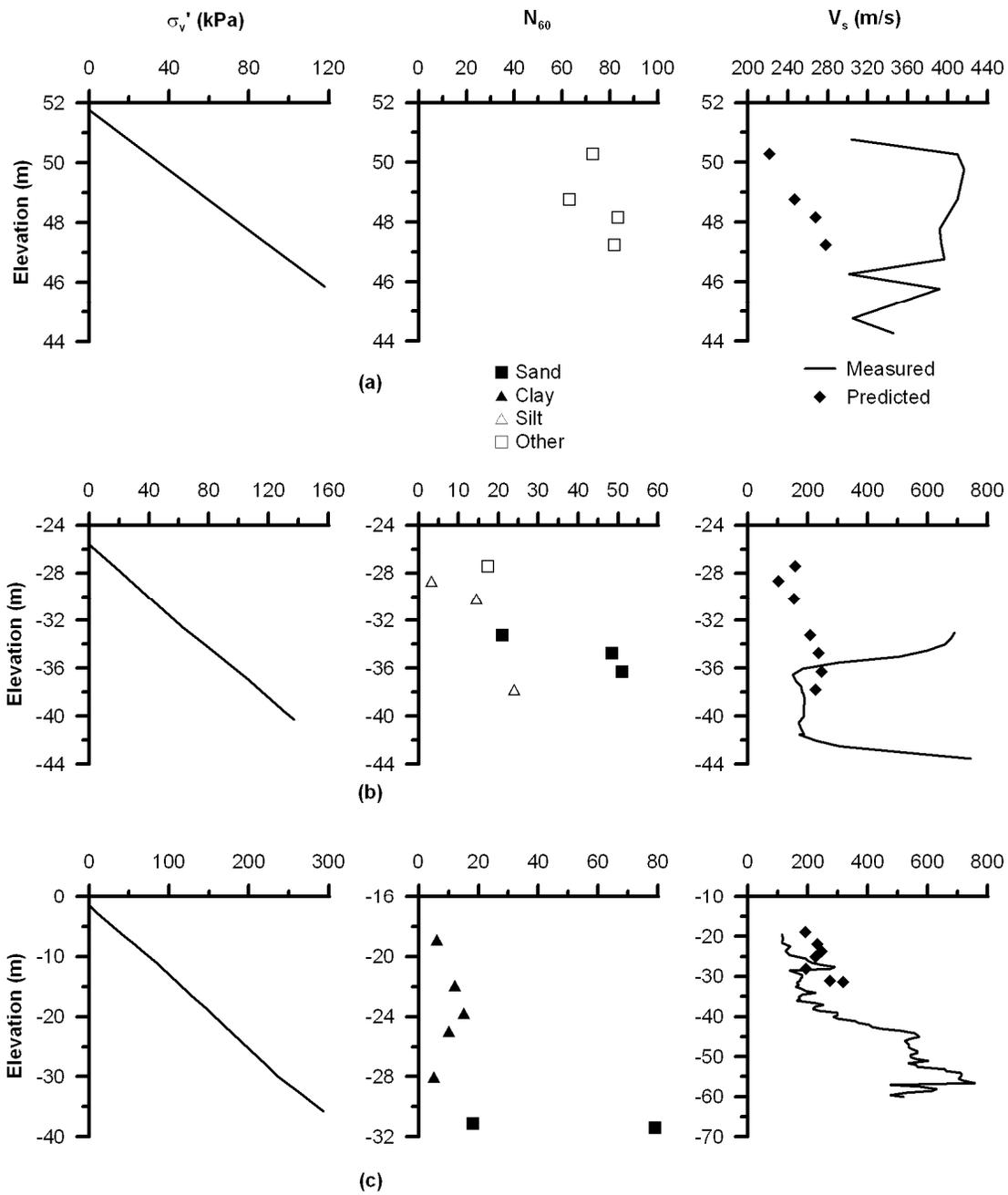


Fig. A.4 (a) Bridge no. 28-0352L, boring no. 96B-29 (b) Bridge no. 28-0352L, boring no. 95-2 (Pier 3) (c) Bridge no. 28-0352L, boring no. 95-1 (Pier 4).

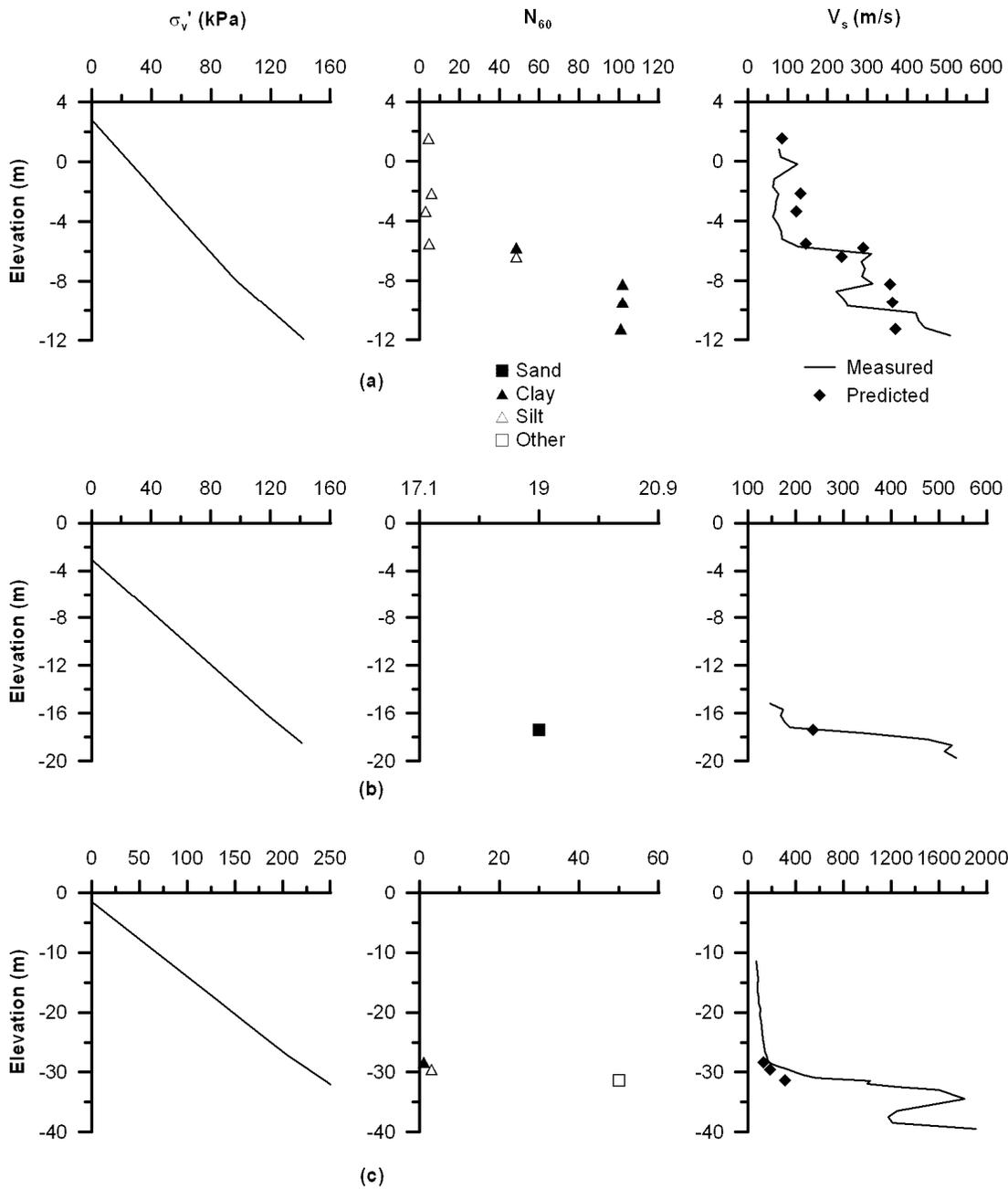


Fig. A.5 (a) Bridge no. 28-0352L, boring no. 96B-37 (b) Bridge no. 28-0100, boring no. 96-2 (Piers 10 and 11) (c) Bridge no. 28-0100, boring no. 96-5 (Piers 31/32).

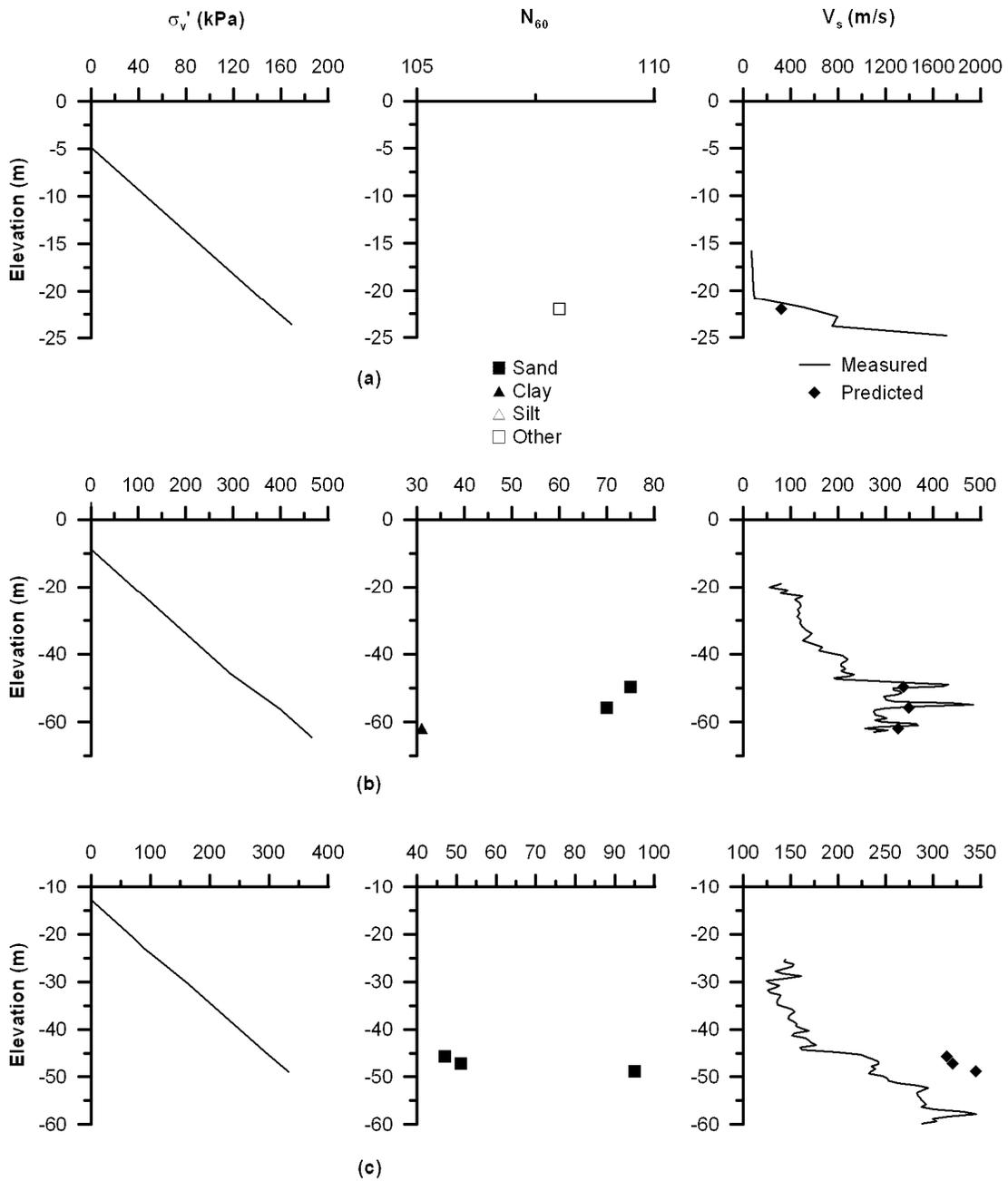


Fig. A.6 (a) Bridge no. 28-0100, boring no. 96-7 (Pier 8) (b) Bridge no. 28-0100, 95-7 (Pier 21) (c) Bridge no. 28-0100, boring no. 95B4R (Pier 25).

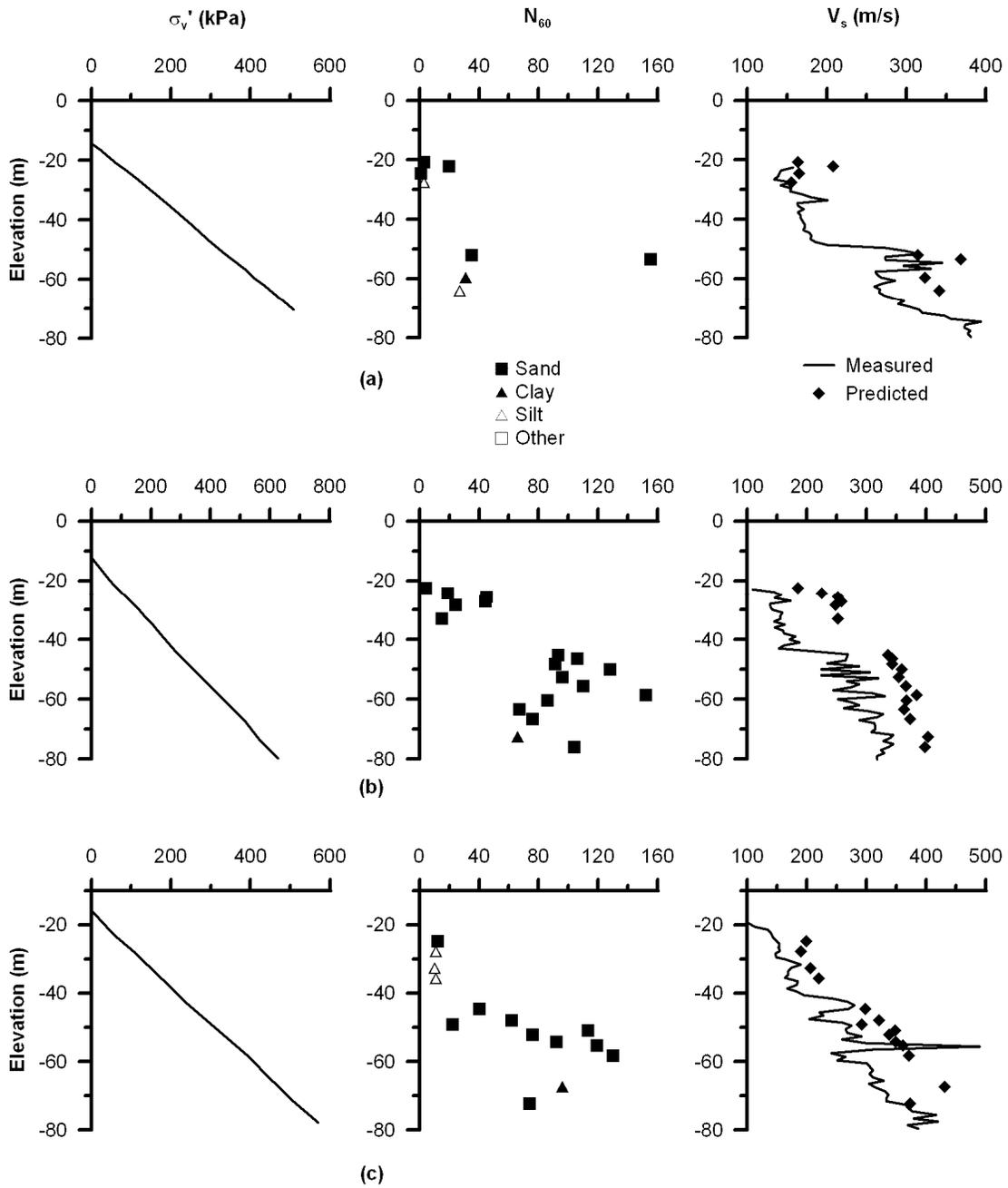


Fig. A.7 (a) Bridge no. 28-0100, boring no. 95B5R (Pier 35) (b) Bridge no. 28-0100, boring no. 95B2R (Pier 32/33) (c) Bridge no. 28-0100, boring no. 95B3R/95B9R (Pier 34).

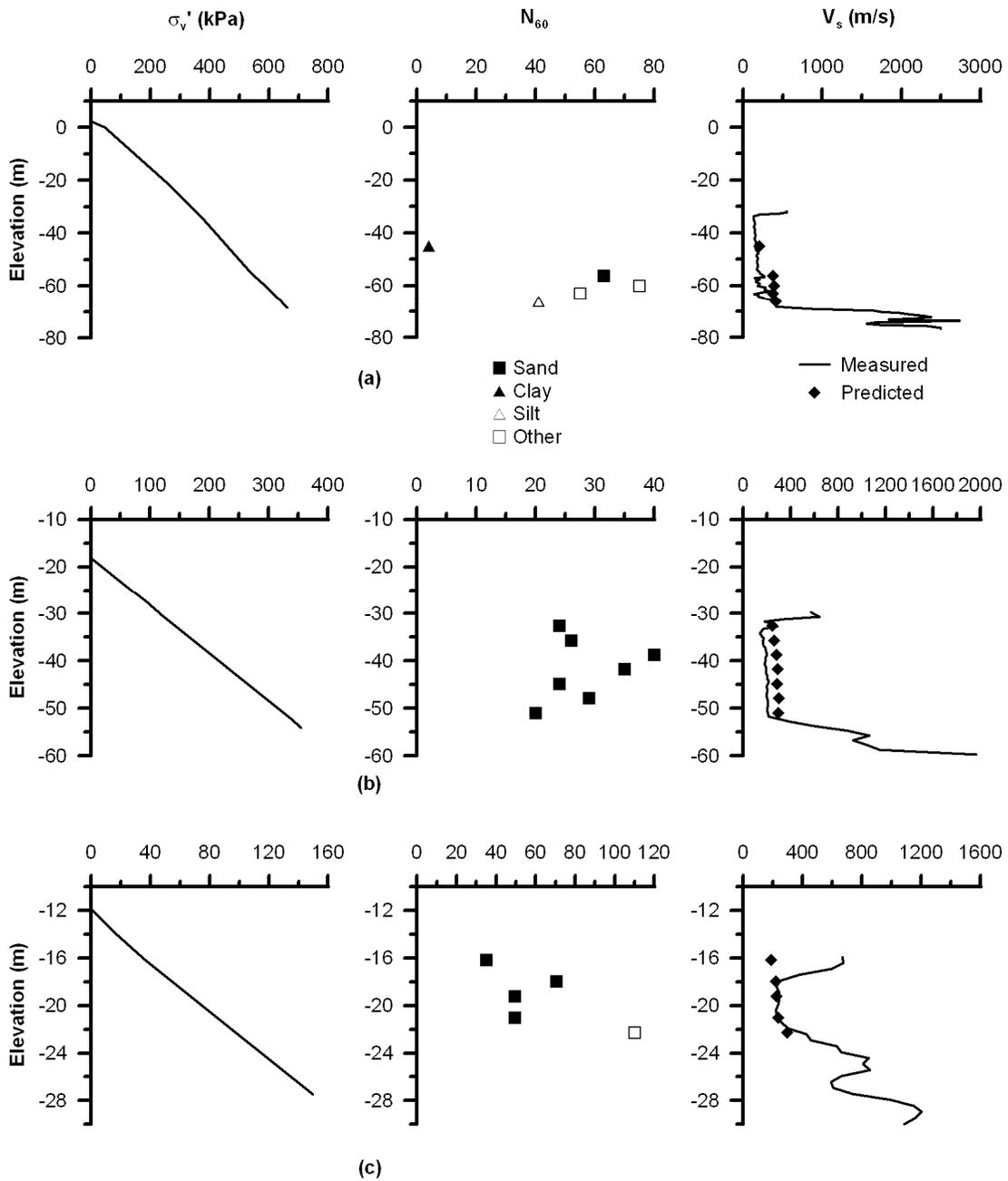


Fig. A.8 (a) Bridge no. 28-0100, boring no. 95-10 (Pier 47) (b) Bridge no. 28-0100, boring no. 95-11 (Pier 48) (c) Bridge no. 28-0100, boring no. 95B1R (Pier 58).

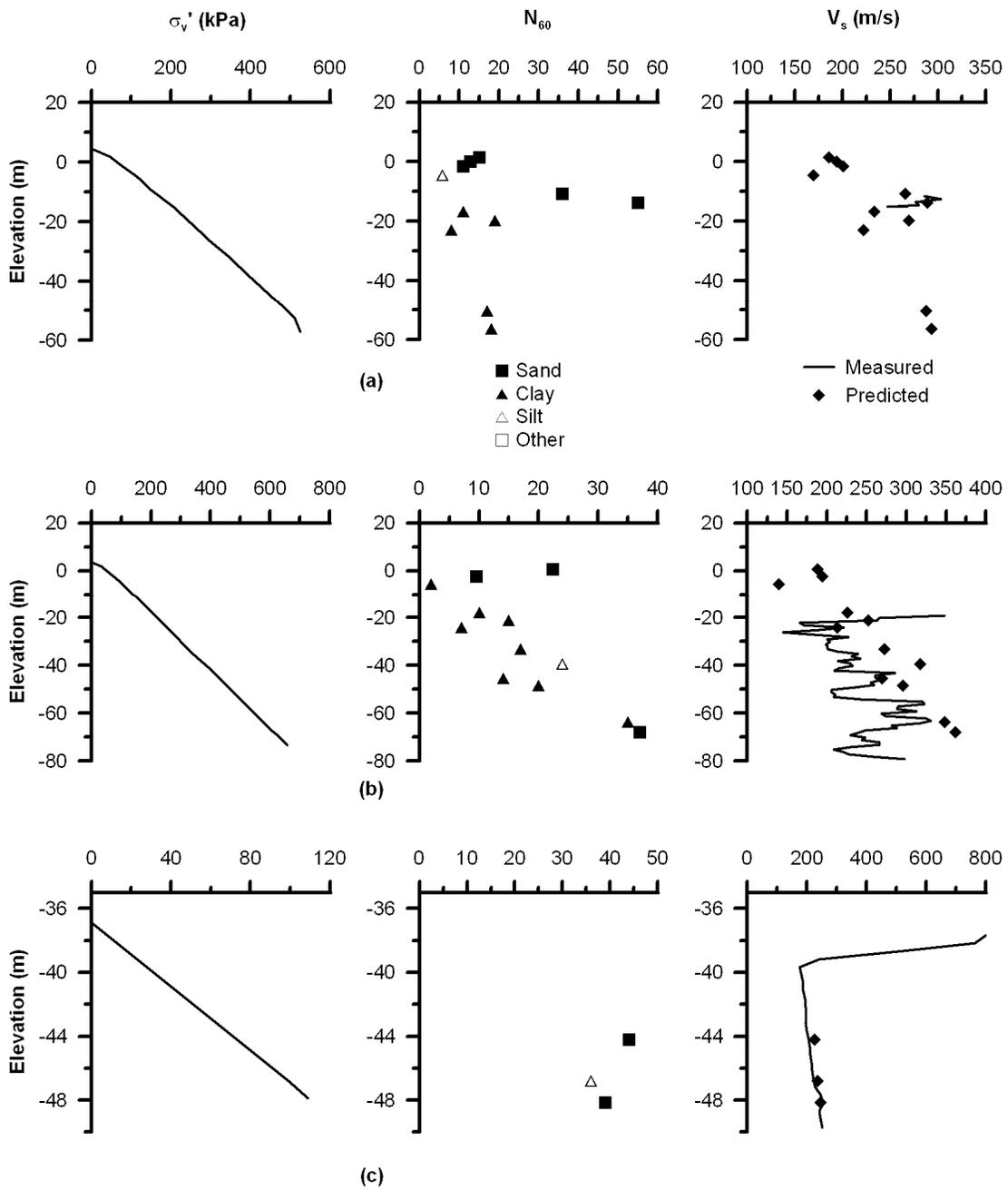


Fig. A.9 (a) Bridge no. 33-0025, boring no. B6 (Pier E19) (b) Bridge no. 33-0025, boring no. B-7 (Pier E10) (c) Bridge no. 34-0003, boring no. 95-14 (Pier W6).

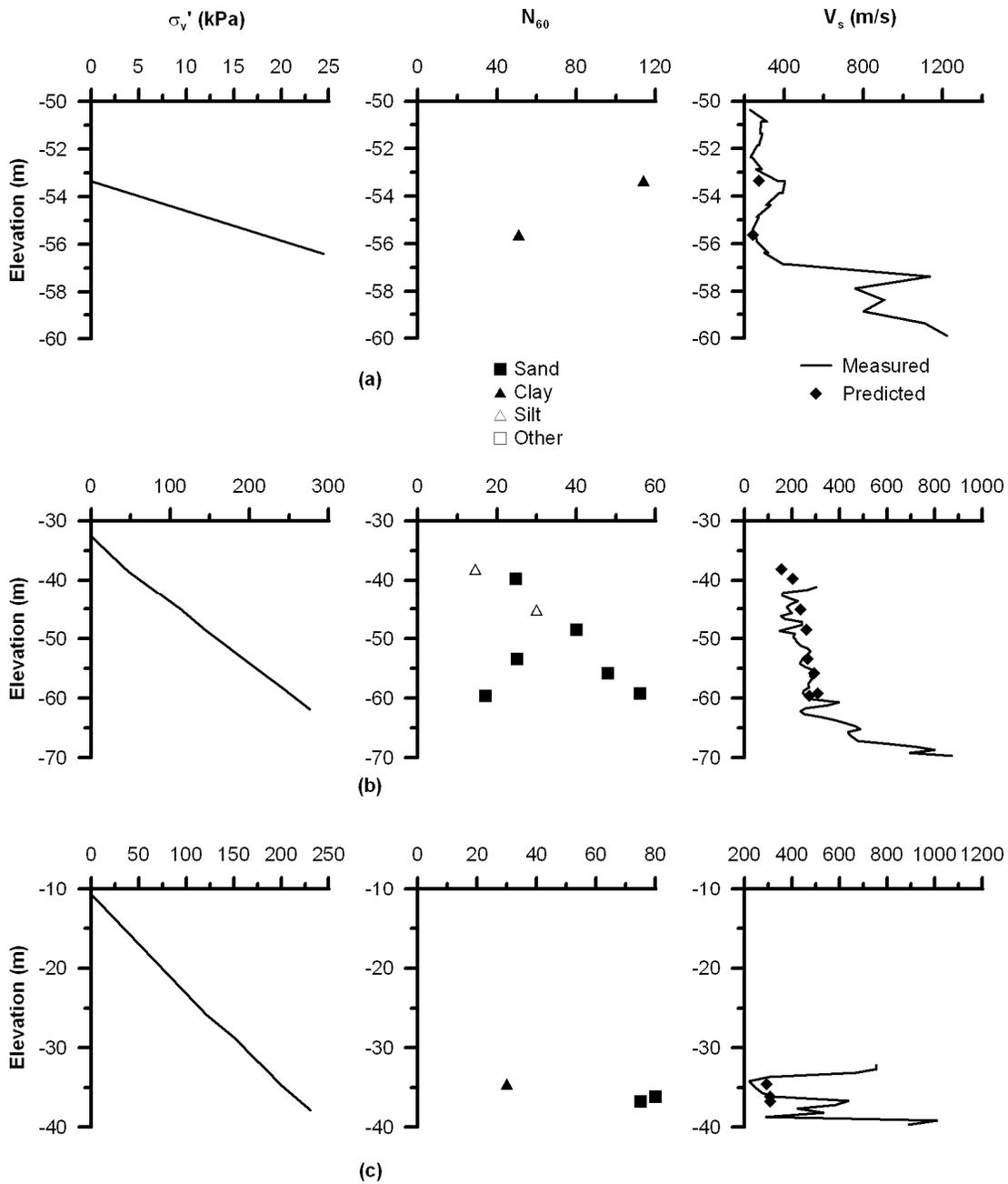


Fig. A.10 (a) Bridge no. 34-0003, boring no. 95-12 (Pier W4) (b) Bridge no. 34-0003, boring no. 95-11 (Pier W3) (c) Bridge no. 34-0003, boring no. 95-10 (Pier W2).

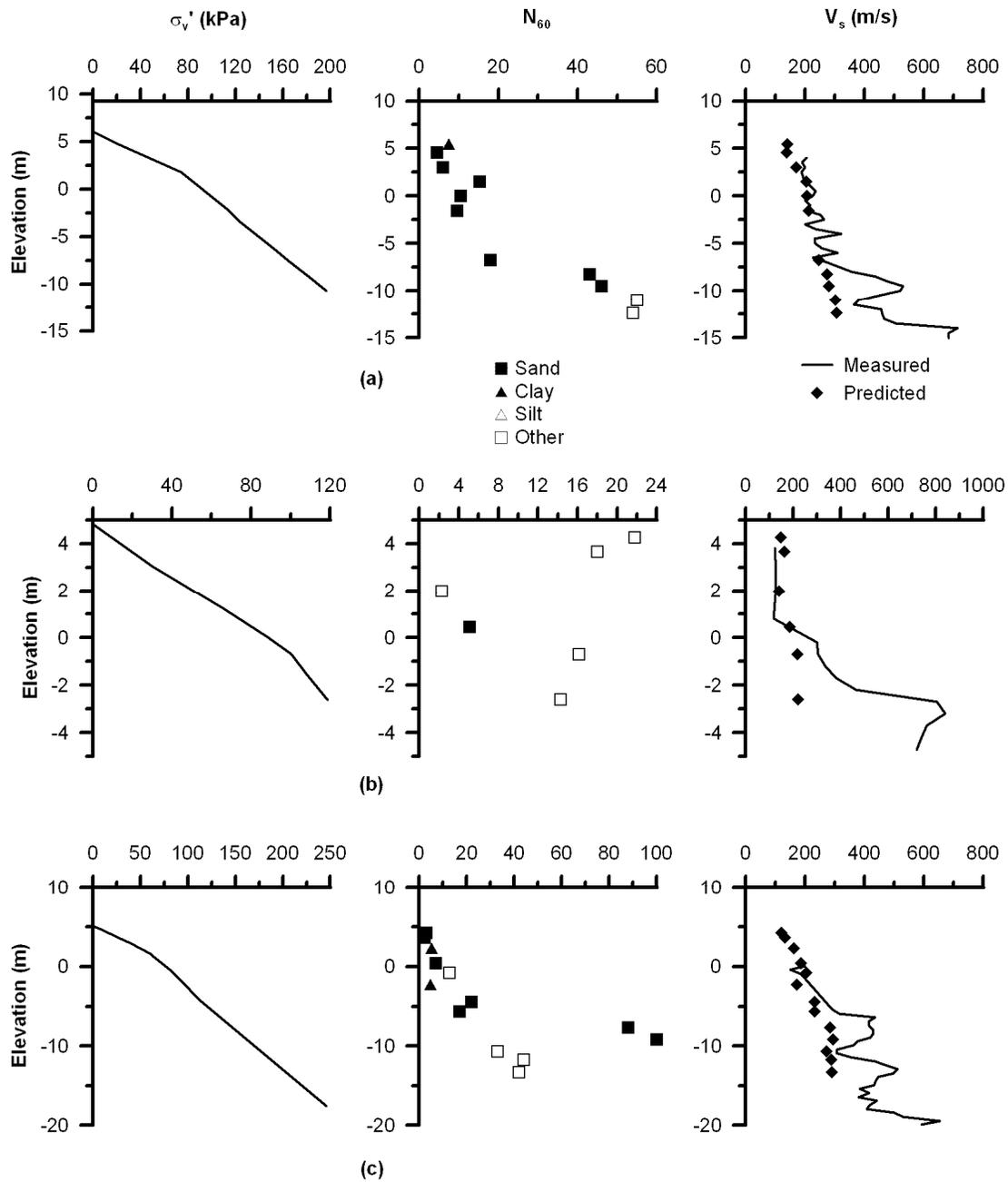


Fig. A.11 (a) Bridge no. 34-0003, boring no. 95-5 (Pier A) (b) Bridge no. 34-0003, boring no. 95-4 (c) Bridge no. 34-0003, boring no. 95-6.

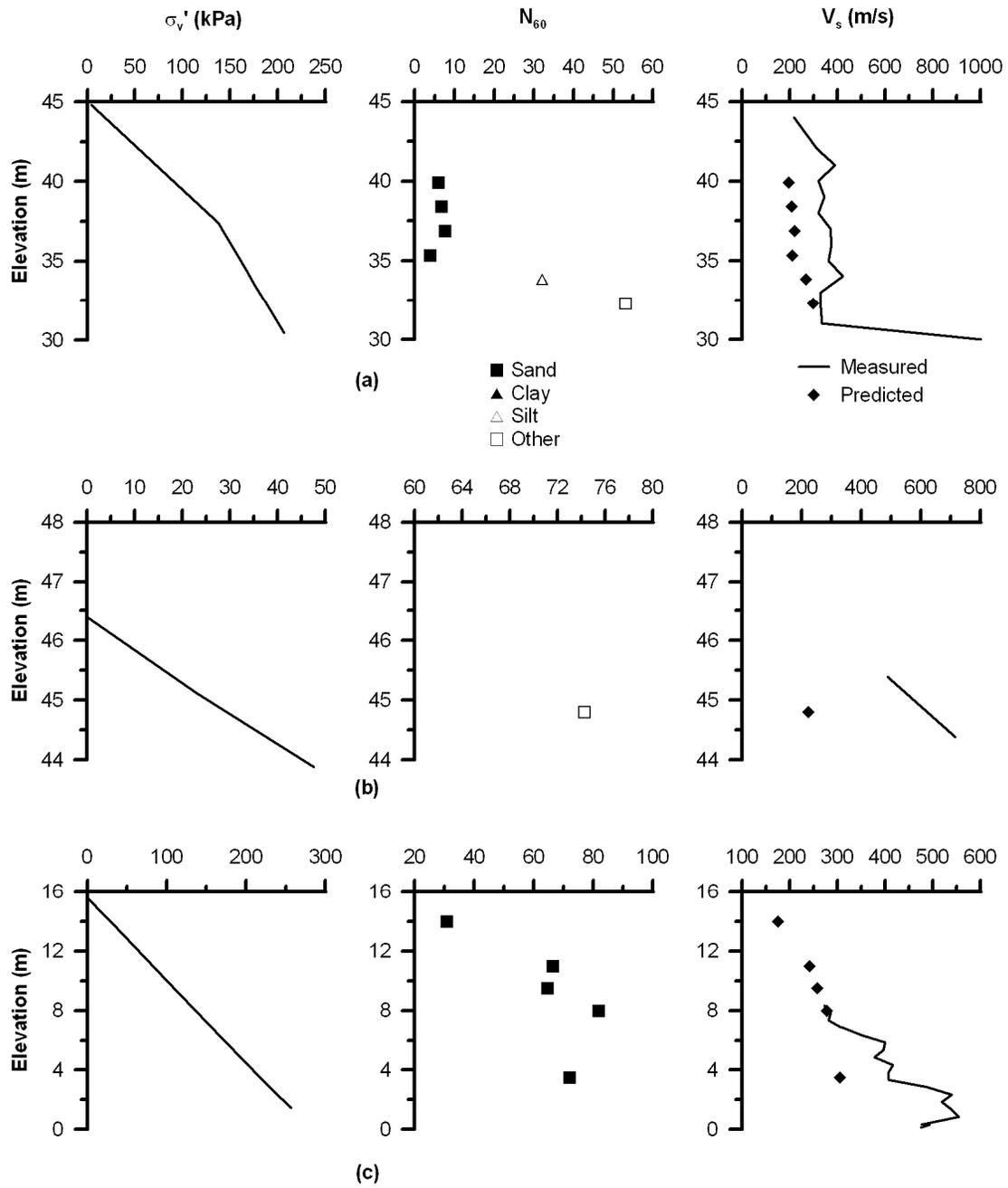


Fig. A.12 (a) Bridge no. 34-0004, boring no. B95-2 (b) Bridge no. 34-0004, boring no. B95-3 (c) Bridge no. 34-0077, boring no. 01-B2.

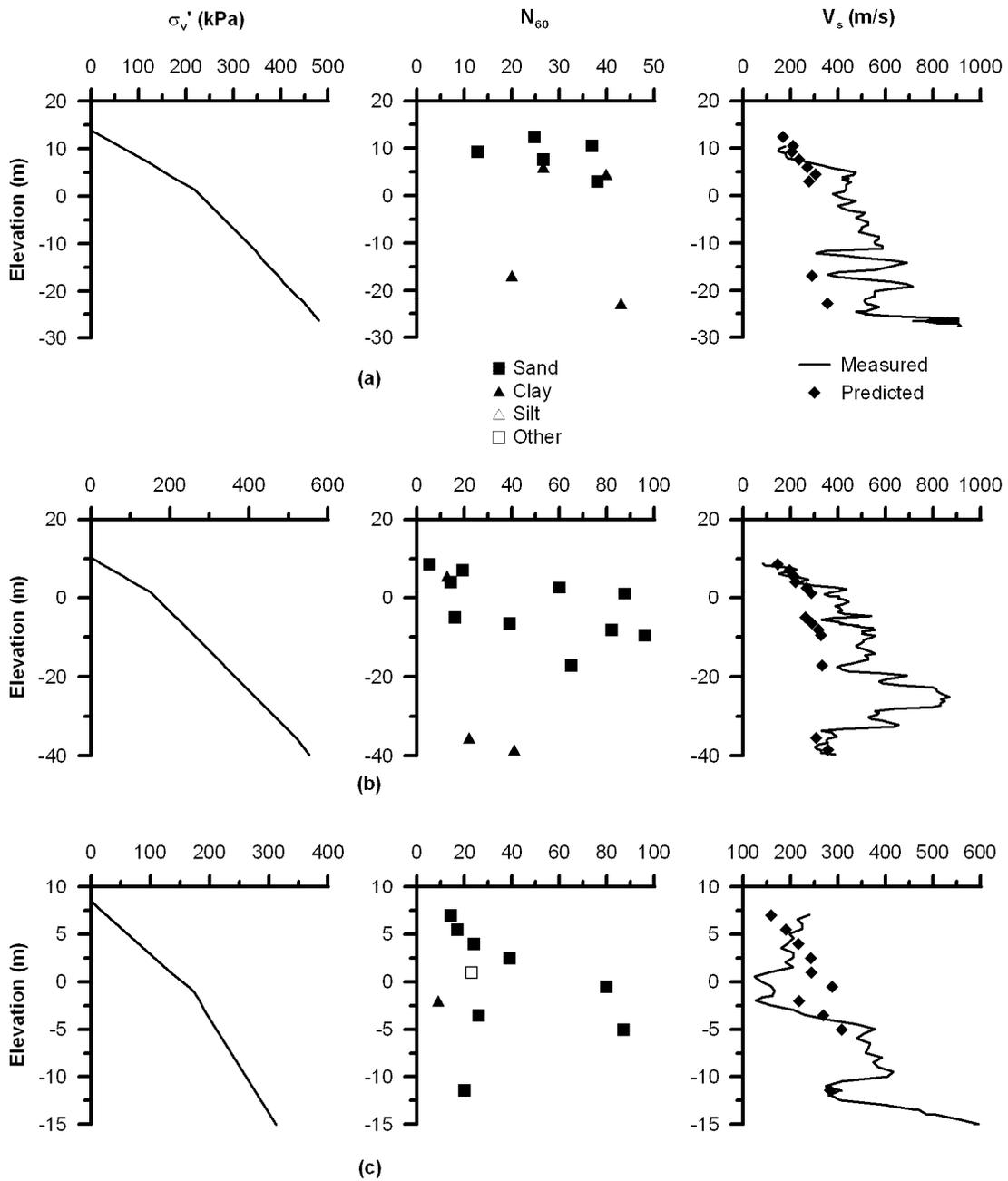


Fig. A.13 (a) Bridge no. 34-0077, boring no. 01-05 (b) Bridge no. 34-0077, boring no. 01-08 (c) Bridge no. 34-0077, boring no. 01-11.

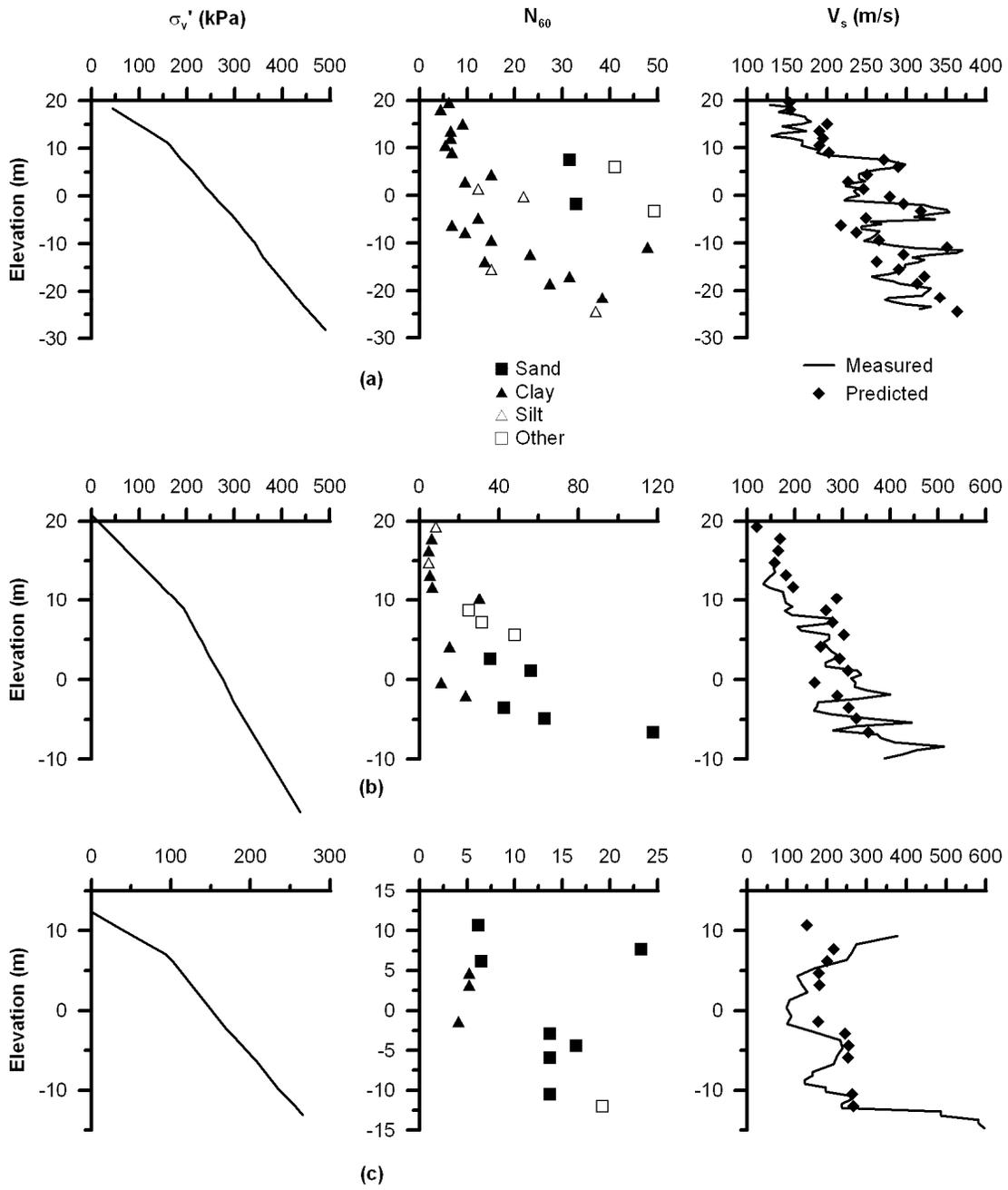


Fig. A.14 (a) Bridge no. 37-0853, boring no.98-1 (Pier 4) (b) Bridge no. 38-0583, boring no. 98-4 (Bent 7) (c) Bridge no. 49-0014L, boring no.98-1 (Abut 1).

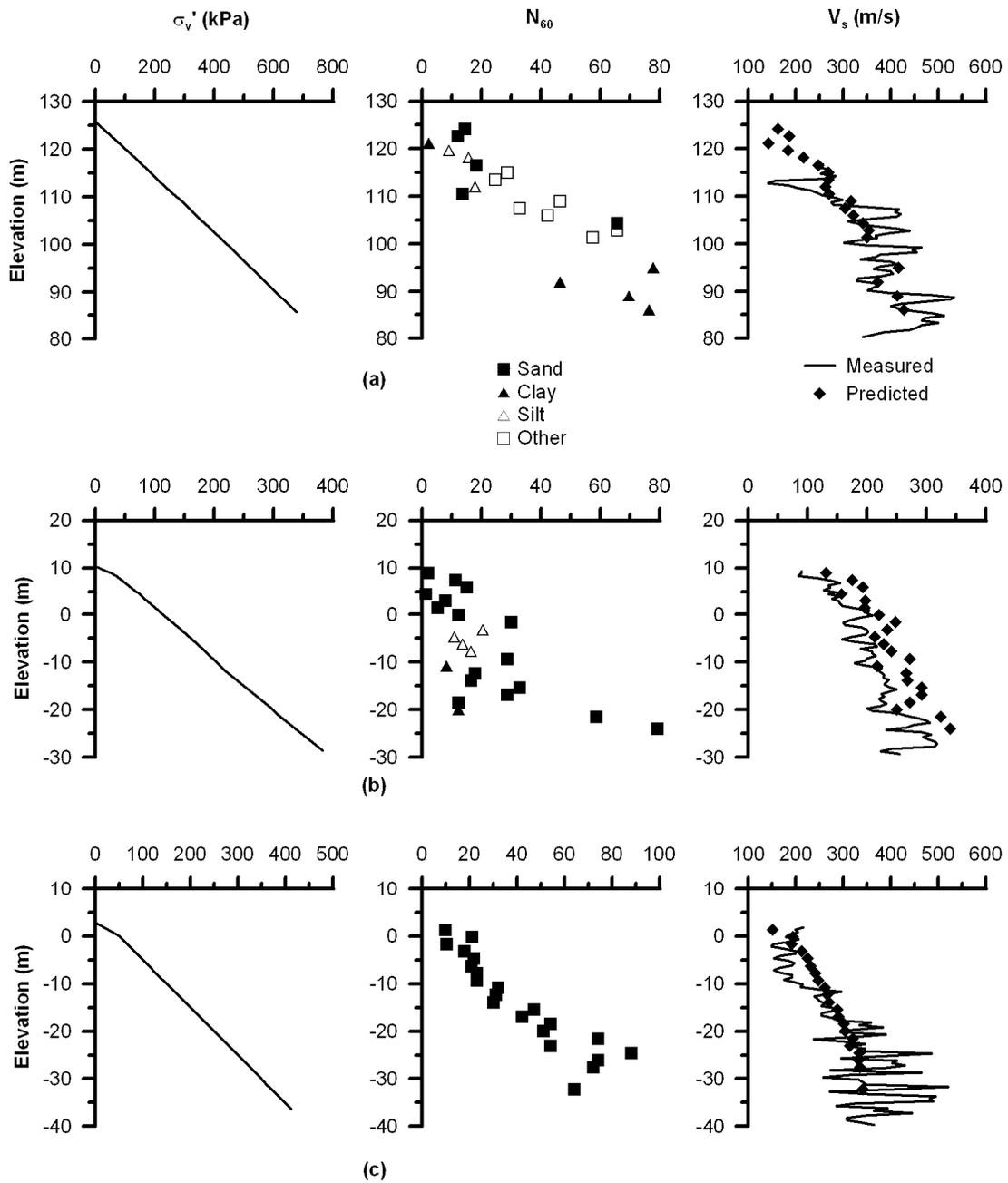


Fig. A.15 (a) Bridge no. 51-0139, boring no. 98-1 (Abut 1) (b) Bridge no. 52-0443, boring no. 99-1 (c) Bridge no. 53-1471, boring no. 95B5R.

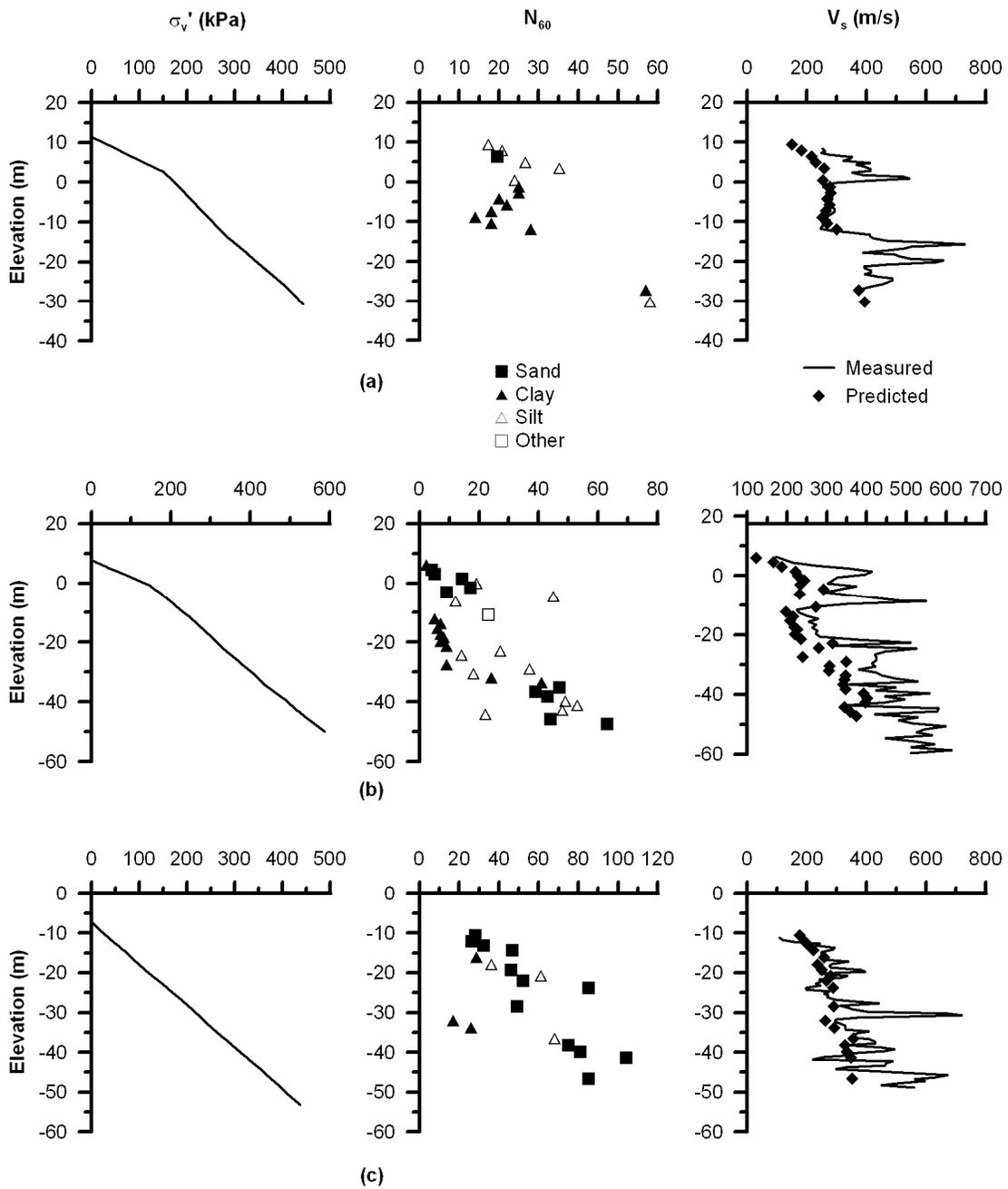


Fig. A.16 (a) Bridge no. 53-1471, boring no. 95B4R (b) Bridge no. 53-1471, boring no. 95B1R (c) Bridge no. 53-1471, boring no. 95B2R.

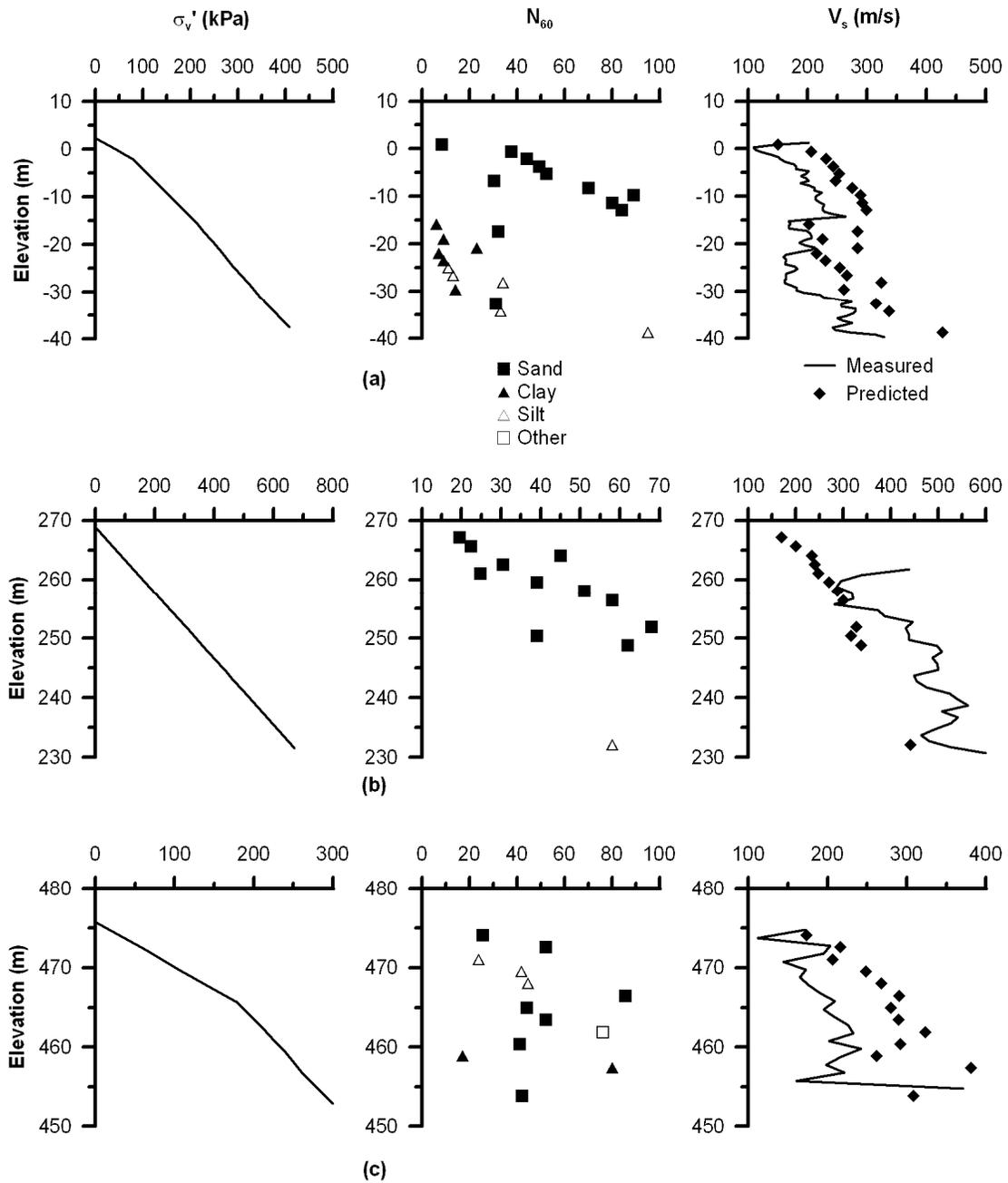


Fig. A.17 (a) Bridge no. 53-1471, boring no. 95B3R (b) Bridge no. 53-2272, boring no. B-1 (c) Bridge no. 53-2790R, boring no. B-6.

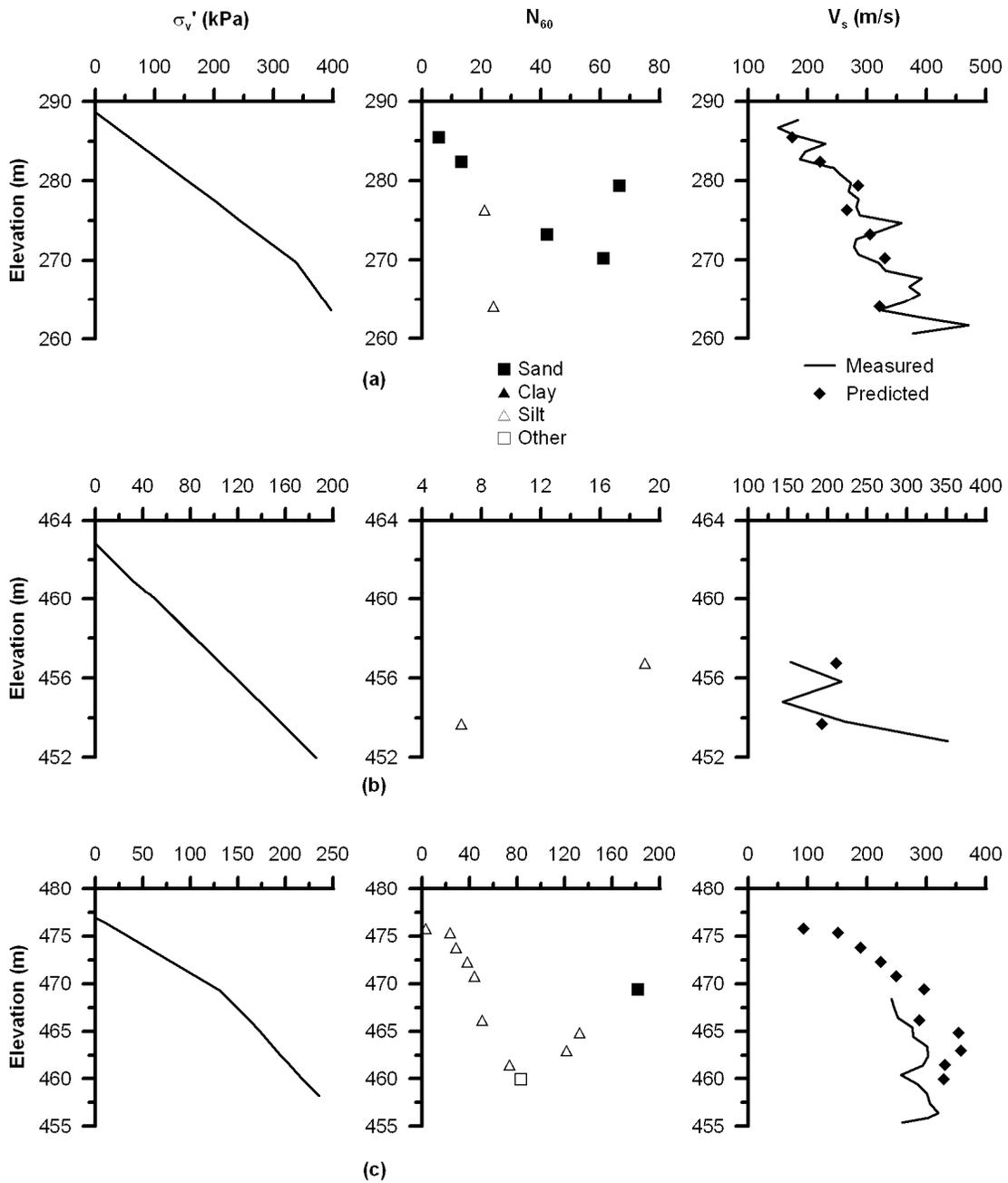


Fig. A.18 (a) Bridge no. 53-2794R, boring no. B-1 (b) Bridge no. 53-2795F, boring no. 94-21 (c) Bridge no. 53-2796F, boring no. 94-30.

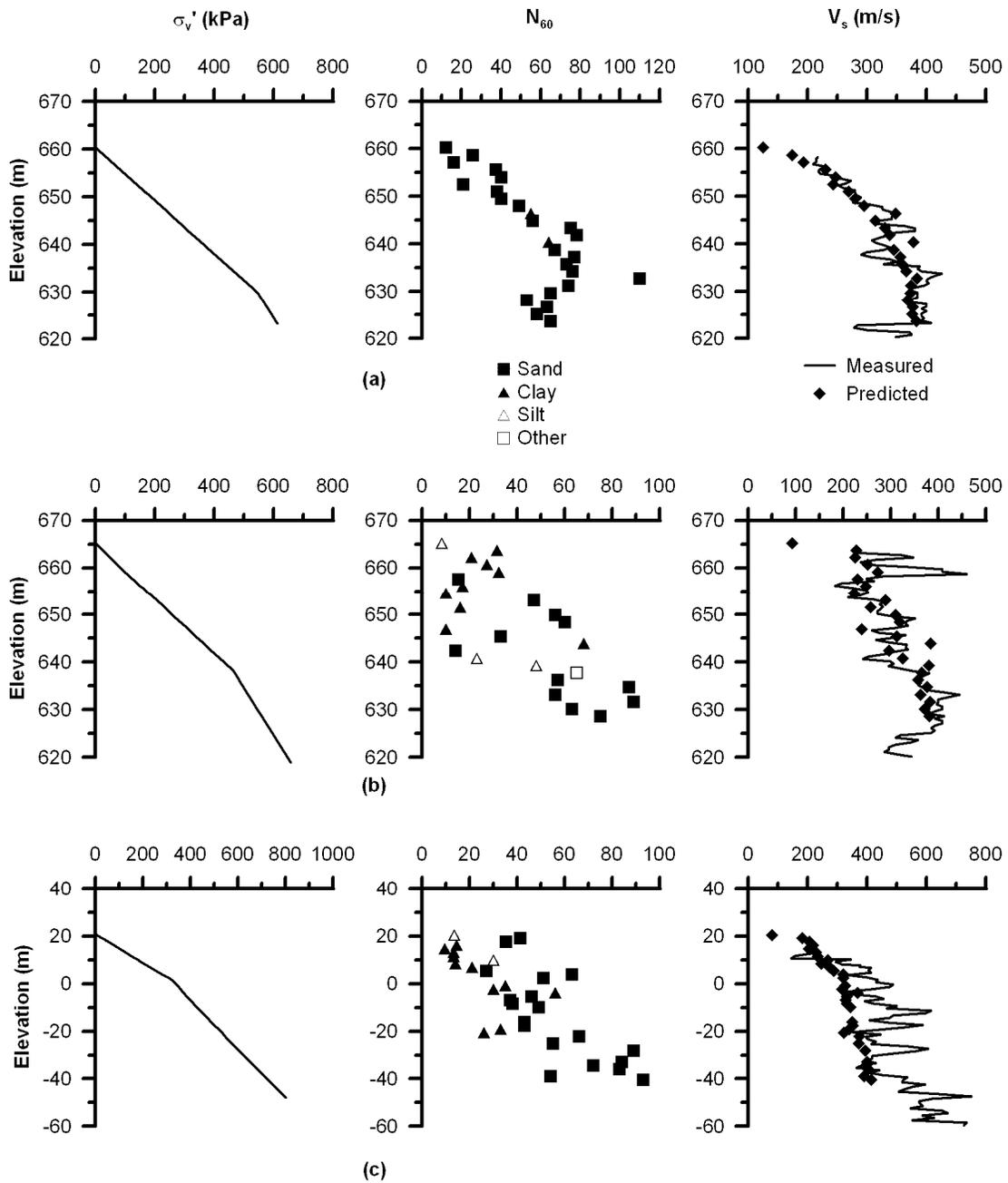


Fig. A.19 (a) Bridge no. 54-1110R, boring no. 98-1 (Abut 1) (b) Bridge no. 54-1110R, boring no. 98-6 (Abut 8) (c) Bridge no. 57-0857, boring no. 96-52 (Bents R48 and 49).

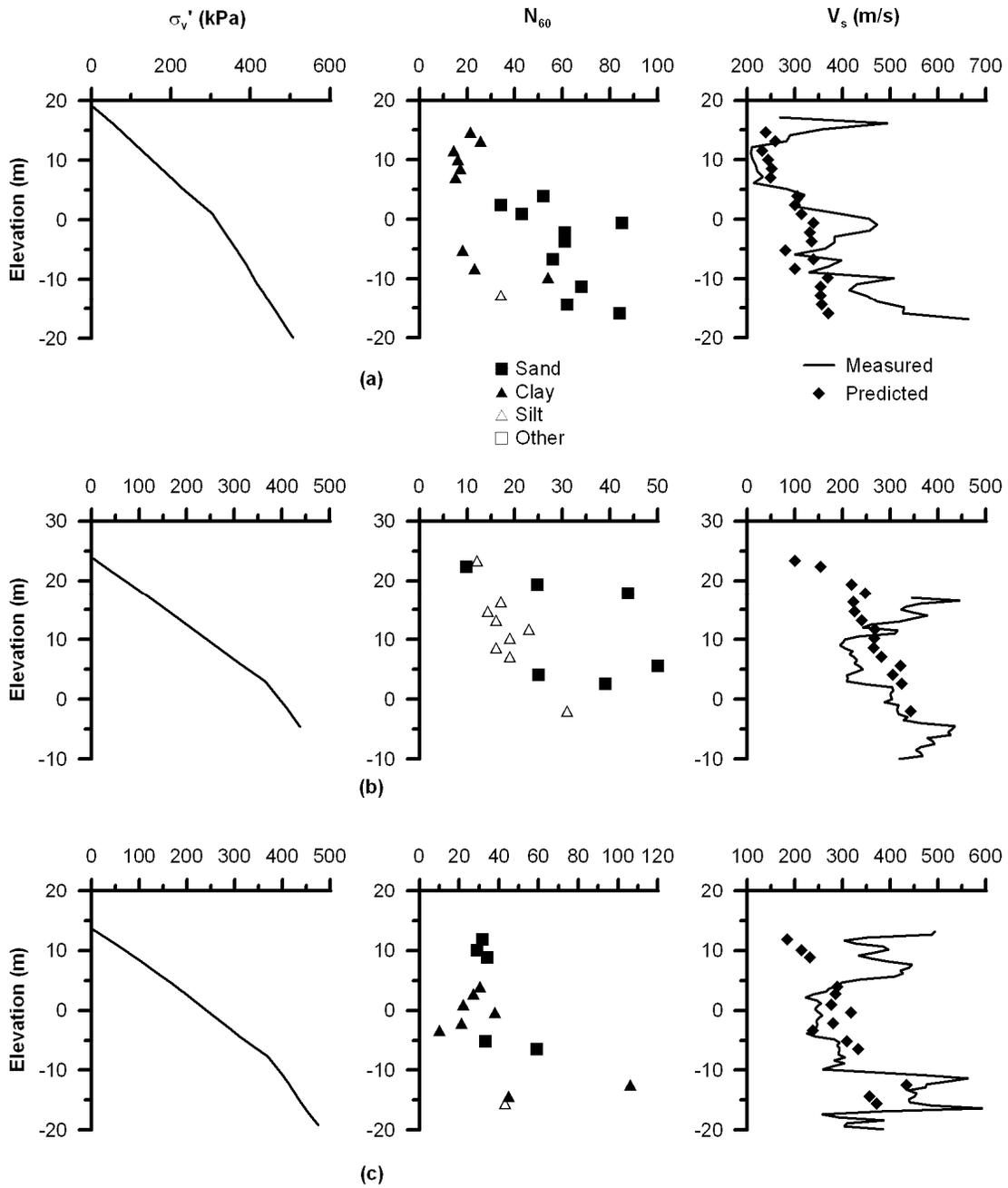


Fig. A.20 (a) Bridge no. 57-0857, boring no. 96-17 (Abut S48) (b) Bridge no. 57-0857, boring no. 95-2 (Pier 33) (c) Bridge no. 57-0857, boring no. 96-16 (Bent 41F,R).

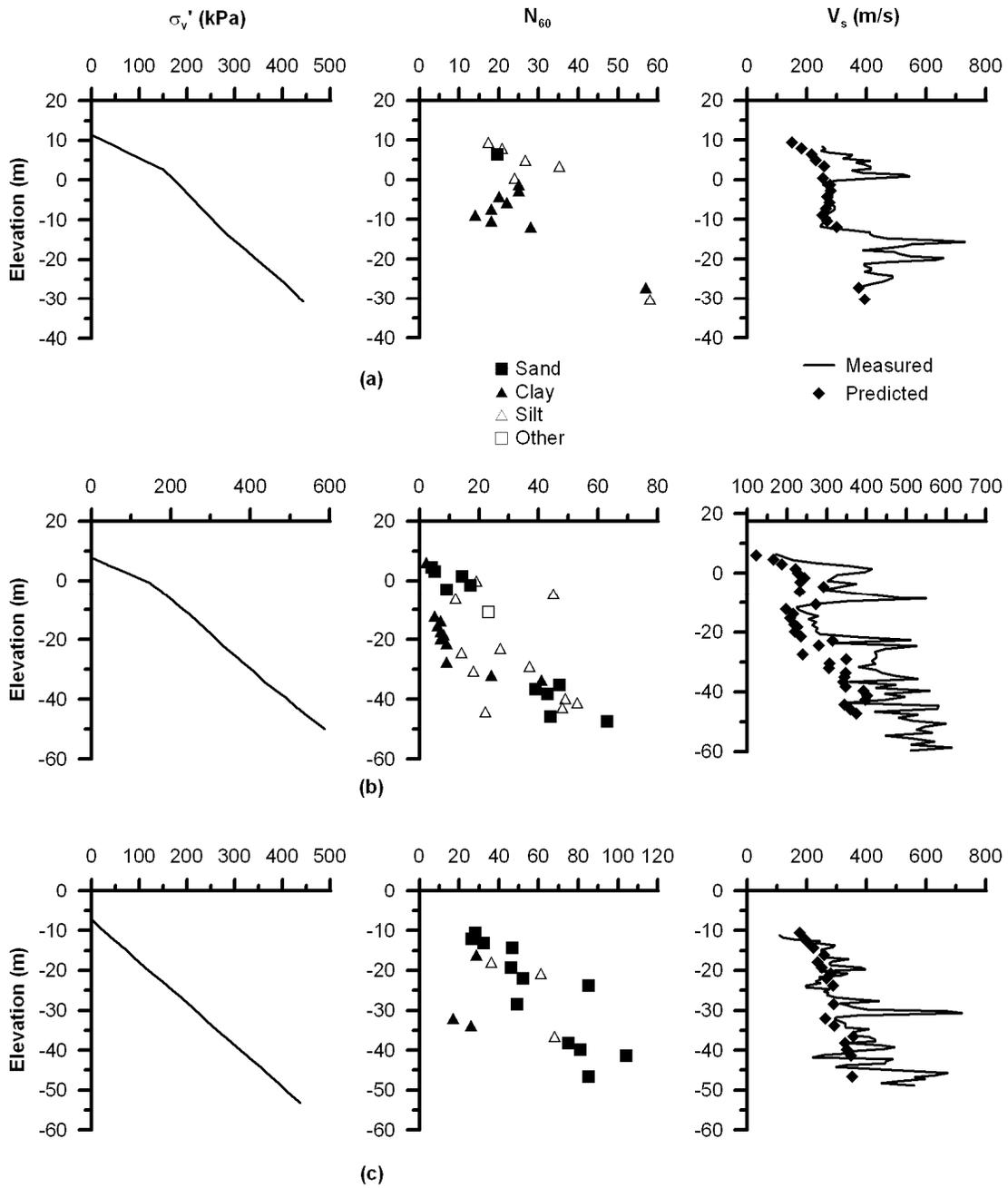


Fig. A.21 (a) Bridge no. 57-0857, boring no. 96-29 (b) Bridge no. 57-0857, boring no. 96-53R (c) Bridge no. 57-0857, boring no. 96-66.

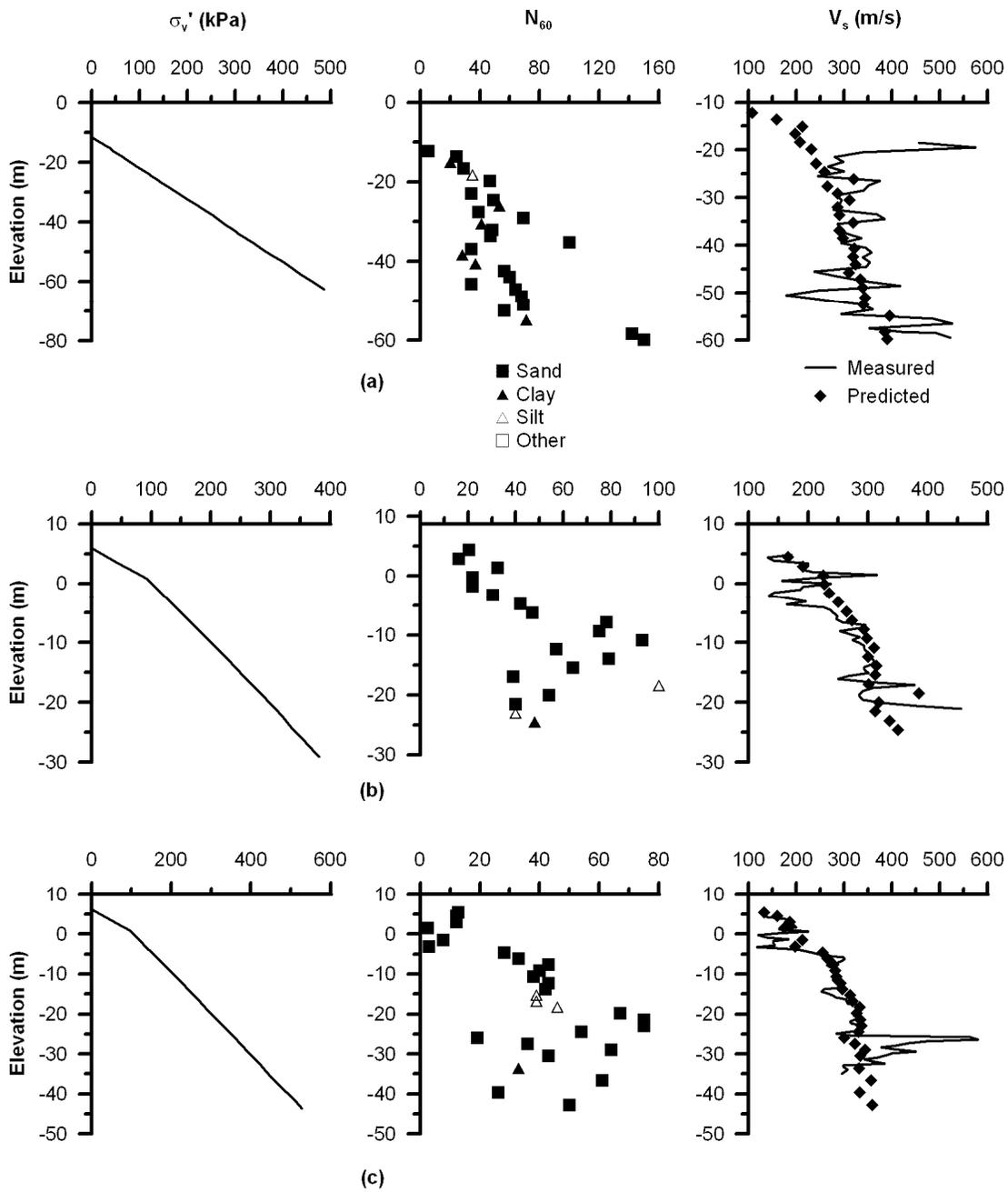


Fig. A.22 (a) Bridge no. 57-0857, boring no. 96-65 (b) Bridge no. 57-0857, boring no. 96-35 (Toll Plaza North West) (c) Bridge no. 57-0857, boring no. 96-34 (Toll Plaza South East).

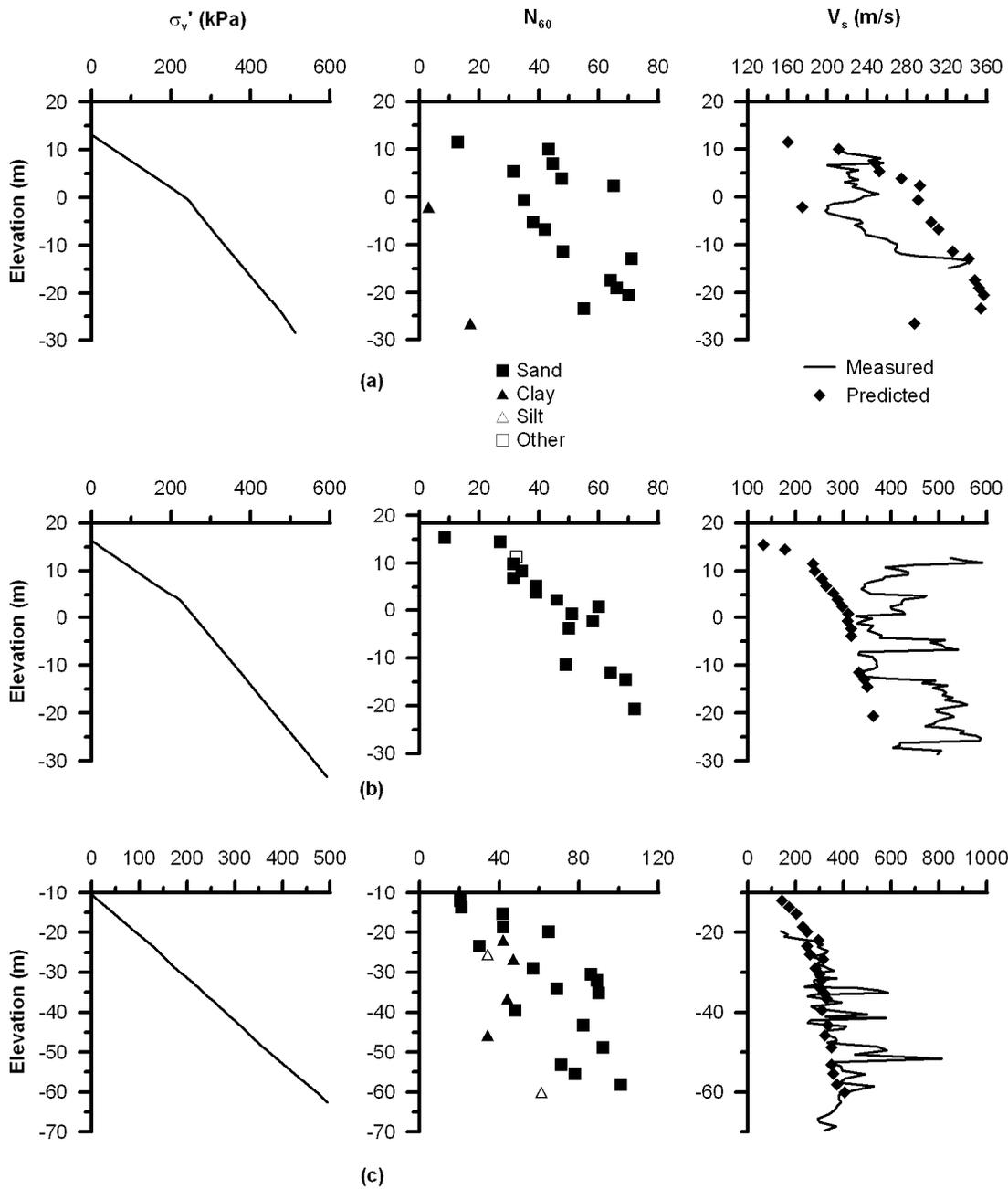


Fig. A.23 (a) Bridge no. 57-0857, boring no. 96-21 (b) Bridge no. 57-0857, boring no. 96-28 (c) Bridge no. 57-0857, boring no. 96-60.

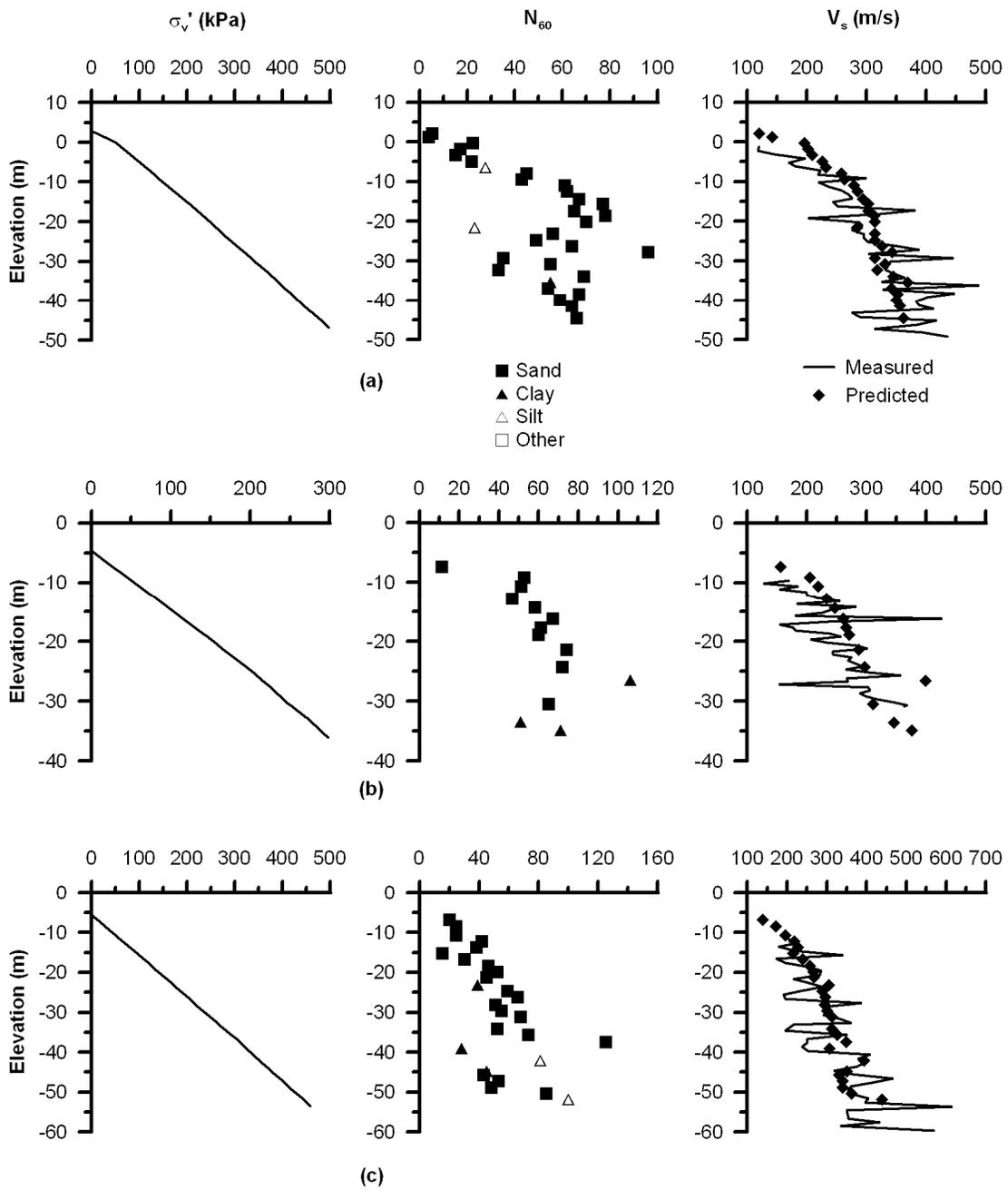


Fig. A.24 (a) Bridge no. 57-0857, boring no. 96-68R (b) Bridge no. 57-0857, boring no. 96-56 (c) Bridge no. 57-0857, boring no. 96-67.

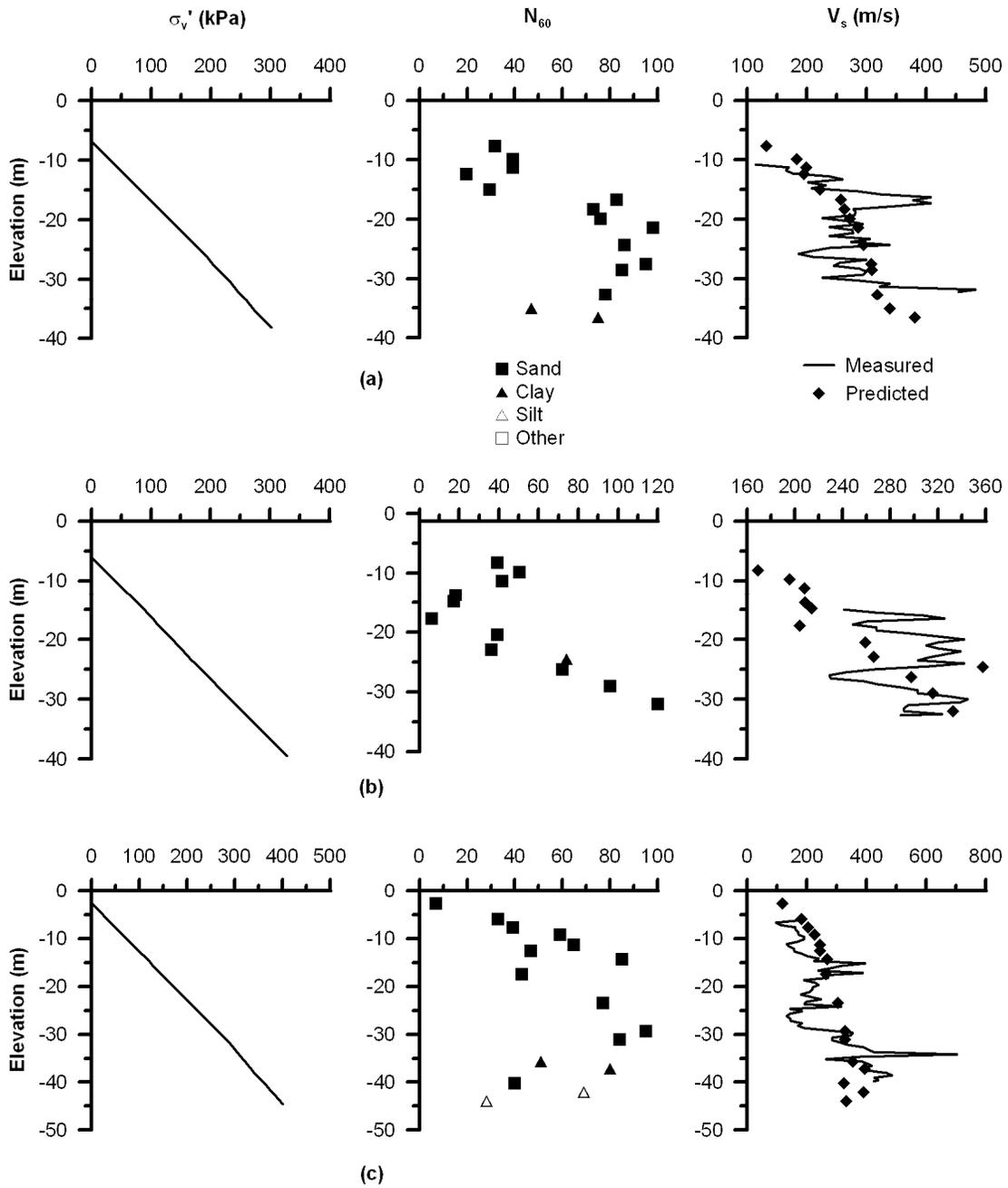


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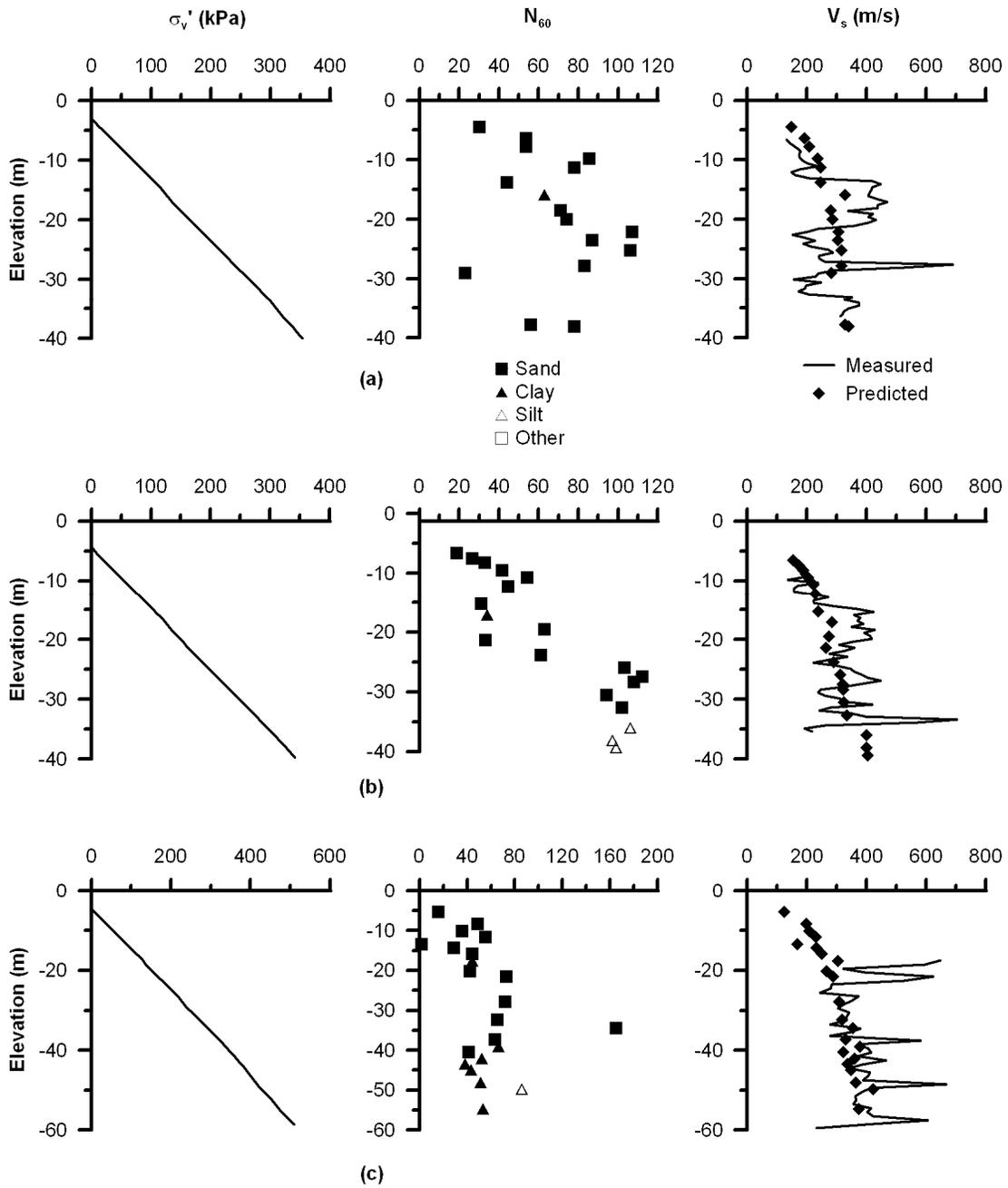


Fig. A.26 (a) Bridge no. 57-0857, boring no. 96-58 (b) Bridge no. 57-0857, boring no. 96-57 (c) Bridge no. 57-0857, boring no. 96-64.

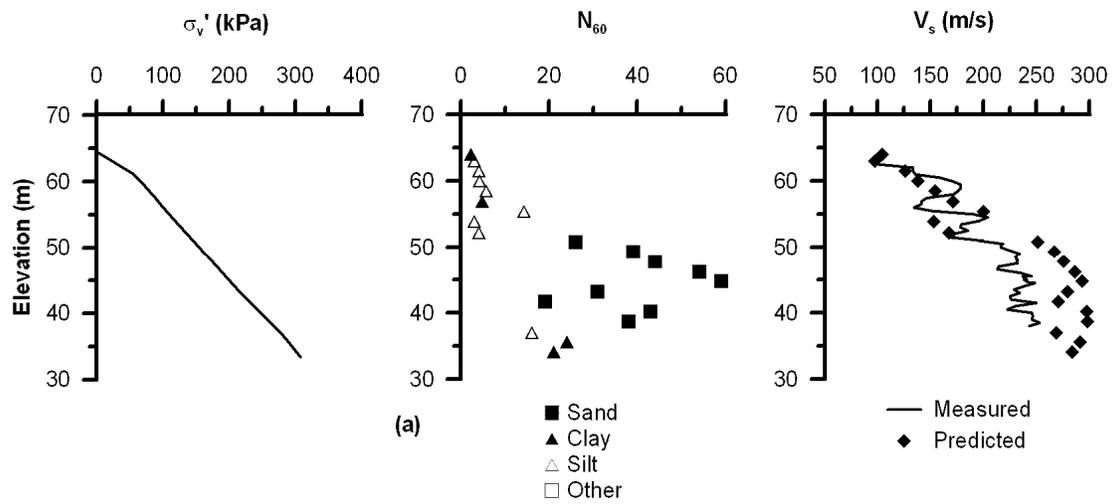


Fig. A.27 (a) Bridge no. 58-0335RL, boring no. B5-01.

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